



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

Proposed Grant Awards

February 17, 2016

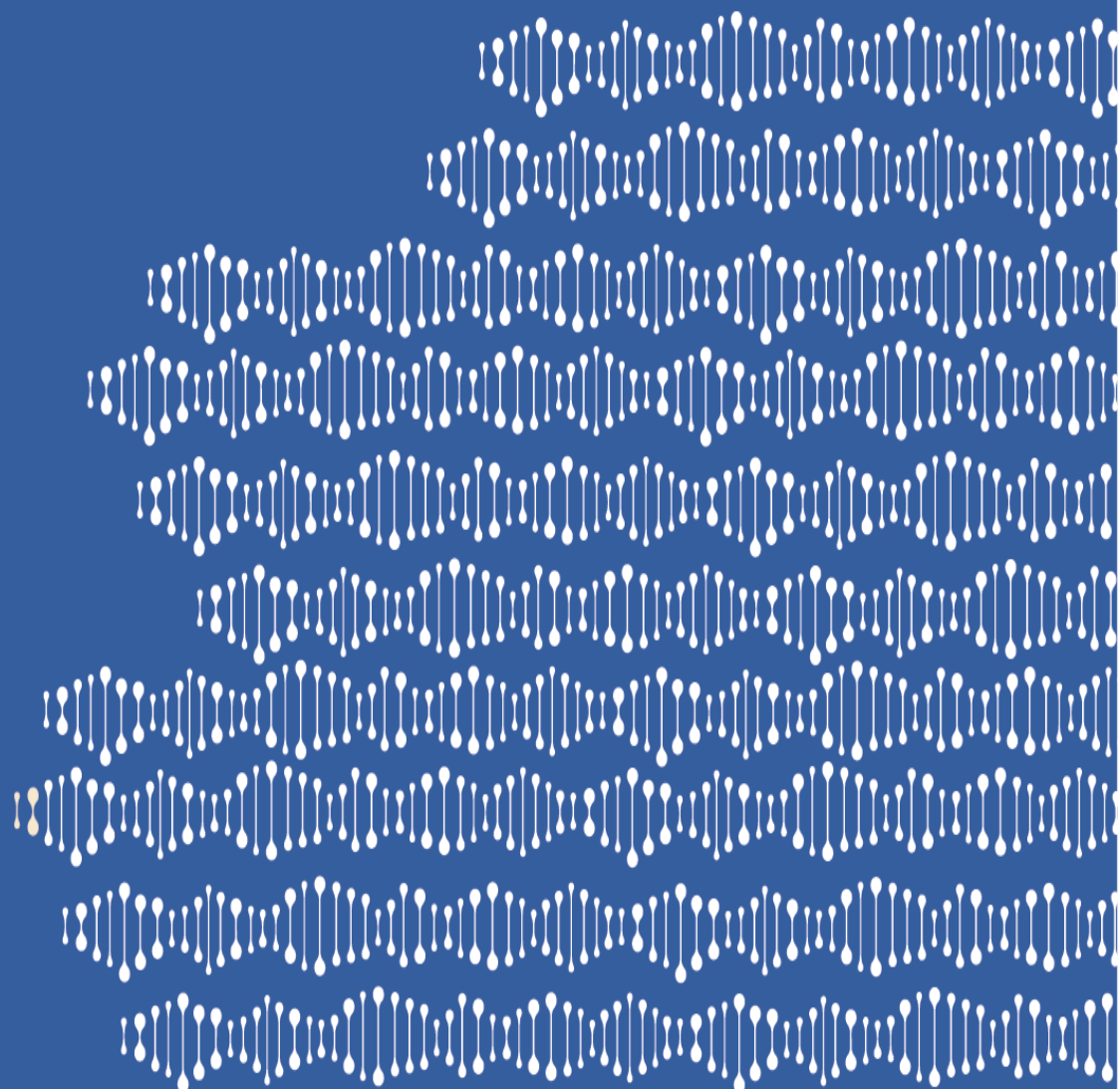


TABLE OF CONTENTS

PIC Recommendation Letter	p.5
---------------------------	-----

Compliance Certification	p.8
--------------------------	-----

Academic Research	p.13
-------------------	------





CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

February 3, 2016

Dear Oversight Committee Members:

I am pleased to present the Program Integration Committee's (PIC) unanimous recommendations for funding eight academic research recruitment grant applications totaling \$34,000,000.

Dr. Margaret Kripke, CPRIT's Chief Scientific Officer, has prepared an overview of the academic research program slates to assist your evaluation of the recommended awards. The overview is intended to provide a comprehensive summary with enough detail to understand the substance of the proposal and the reasons endorsing grant funding. In addition to the full overview, all of the information considered by the Review Council is available by clicking on the appropriate link in the portal. This information includes the application, peer reviewer critiques, and the CEO affidavit for each proposal.

The approval of these grant recommendations is governed by a statutory process that requires two-thirds of the members present and voting to approve each recommendation. Vince Burgess, CPRIT's Chief Compliance Officer, will certify that the review process for the recommended grants followed CPRIT's award process prior to any Oversight Committee action.

The award recommendations will not be considered final until the Oversight Committee meeting on Wednesday, February 17, 2016. Consistent with the non-disclosure agreement that all Oversight Committee members have signed, the recommendations should be kept confidential and not be disclosed to anyone until the award list is publicly announced at the Oversight Committee meeting. I request that Oversight Committee members not print, email or save to your computer's hard drive any material on the portal. I appreciate your assistance in taking all necessary precautions to protect this information.

If you have any questions or would like more information on the review process or any of the projects recommended for an award, CPRIT's staff, including myself and Dr. Kripke, are always available. Please feel free to contact us directly should you have any questions. The programs that will be supported by the CPRIT awards are an important step in our efforts to mitigate the effects of cancer in Texas. Thank you for being part of this endeavor.

Sincerely,
Wayne R. Roberts
Chief Executive Officer

Academic Research Award Recommendations –

The PIC unanimously recommends approval of eight academic research grant proposals totaling \$34,000,000. The recommended grant proposals were submitted in response to eight grant mechanisms: Recruitment of First-Time, Tenure-Track Faculty; Recruitment of Rising Stars, and Recruitment of Established Investigators. The PIC followed the recommendations made by the Scientific Review Council (SRC). The SRC met on November 12, 2015 to review cycle 16.4 applications and again on January 14, 2016 to review cycles 16.5 and 16.6 applications. The SRC provided the prioritized list of recommendations for the Recruitment awards to the presiding officers on January 25, 2016.

The PIC is required to give funding priority, to the extent possible, to applications that meet one or more criteria set forth in V.T.C.A., Tex. Health & Safety Code § 102.251(a)(2)(C). The PIC determined that these academic research proposals met the following CPRIT funding priorities:

- could lead to immediate or long-term medical and scientific breakthroughs in the area of cancer prevention or cures for cancer;
- strengthen and enhance fundamental science in cancer research;
- ensure a comprehensive coordinated approach to cancer research and cancer prevention;
- are interdisciplinary or interinstitutional;
- address federal or other major research sponsors' priorities in emerging scientific or technology fields in the area of cancer prevention or cures for cancer;
- are matched with funds available by a private or nonprofit entity and institution or institutions of higher education;
- are collaborative between any combination of private and nonprofit entities, public or private agencies or institutions in this state, and public or private institutions outside this state;
- enhance research superiority at institutions of higher education in this state by creating new research superiority, attracting existing research superiority from institutions not located in this state and other research entities, or enhancing existing research superiority by attracting from outside this state additional researchers and resources;
- Expedite innovation and commercialization, attract, create, or expand private sector entities that will drive a substantial increase in high-quality jobs, and increase higher education applied science or Technology research capabilities; and
- address the goals of the Texas Cancer Plan.

Academic Research Recruitment Grant Award Recommendations

REC 16.4						
Rank	App ID	Candidate	Mechanism	Organization	Budget Request	Overall Score
1	RR160028	Alexandre Orthwein	Recruitment of First-Time, Tenure-Track Faculty Members	The University of Texas M. D. Anderson Cancer Center	\$2,000,000	1.0
2	RR160029	Xiaodong Cheng	Recruitment of Established Investigators	The University of Texas M. D. Anderson Cancer Center	\$6,000,000	1.0
3	RR160023	Daniel Leahy	Recruitment of Established Investigators	The University of Texas at Austin	\$6,000,000	2.0
4	RR160027	Bing Zhang	Recruitment of Rising Stars	Baylor College of Medicine	\$4,000,000	2.0

REC 16.5-6						
Rank	App ID	Candidate	Mechanism	Organization/Company	Budget	Overall Score
1	RR160034	Luke Andrew Gilbert	Recruitment of First-Time, Tenure-Track Faculty Members	The University of Texas Southwestern Medical Center	\$2,000,000	1.0
2	RR160030	Herbert Lyerly	Recruitment of Established Investigators	The University of Texas at Austin	\$6,000,000	1.2
3	RR160031	Filippo G. Giancotti	Recruitment of Established Investigators	The University of Texas M. D. Anderson Cancer Center	\$6,000,000	1.8
4	RR160032	Traver Hart	Recruitment of First-Time, Tenure-Track Faculty Members	The University of Texas M. D. Anderson Cancer Center	\$2,000,000	1.8

RR160028 and RR160030 were withdrawn by the applicants after the PIC meeting but before the Oversight Committee meeting.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

To: OVERSIGHT COMMITTEE MEMBERS
From: VINCE BURGESS, CHIEF COMPLIANCE OFFICER
Subject: COMPLIANCE CERTIFICATION – FEBRUARY 2016 AWARDS
Date: FEBRUARY 3, 2016

Summary and Recommendation:

As CPRIT's Chief Compliance Officer, I am responsible for reporting to the Oversight Committee regarding the agency's compliance with applicable statutory and administrative rule requirements during the grant review process. I have reviewed the compliance pedigrees for the grant applications submitted to CPRIT for the following mechanisms:

- Recruitment of Established Investigators
- Recruitment of Rising Stars
- Recruitment of First-Time, Tenure-Track Faculty Members

I have conferred with staff at CPRIT and SRA International (SRA), CPRIT's contracted third-party grants administrator, regarding the academic recruitment awards and studied the supporting grant review documentation, including third-party observer reports for the Scientific Review Council (SRC) meetings. I am satisfied that the application review process that resulted in the above mechanisms recommended by the Program Integration Committee (PIC) followed applicable laws and agency administrative rules. I certify the academic recruitment award recommendations for the Oversight Committee's consideration.

Background:

CPRIT's Chief Compliance Officer must report to the Oversight Committee regarding compliance with the agency's statute and administrative rules. Among the Chief Compliance Officer's responsibilities is the obligation "to ensure that all grant proposals comply with this chapter and rules adopted under this chapter before the proposals are submitted to the oversight committee for approval." Texas Health & Safety Code § 102.051(c) and (d).

CPRIT uses a compliance pedigree process to formally document adherence to the grant award process. The compliance pedigree tracks the grant application as it moves through the review process and documents compliance with applicable laws and administrative rules. A compliance pedigree is created for each application; the information related to the procedural steps listed on the pedigree is entered and attested to by SRA employees and CPRIT employees. CPRIT relies on SRA to

accurately record a majority of the information on the pedigree from the pre-receipt stage to final review council recommendation. To the greatest extent possible, information reported in the compliance pedigree is imported directly from data contained in CPRIT's Application Receipt System (CARS), the grant application database managed by SRA. This is done to minimize the opportunity for error caused by manual data entry.

No Prohibited Donations:

Although CPRIT is statutorily authorized to accept gifts and grants pursuant to Texas Health & Safety Code § 102.054, the statute prohibits CPRIT from awarding a grant to an applicant who has made a gift or grant to CPRIT or a nonprofit organization established to provide support to CPRIT. I note that Texas Health & Safety Code § 102.251(a)(3) specifically addresses "donors from any nonprofit organization established to provide support to the institute compiled from information made available under § 102.262(c)." To the best of my knowledge, there are no nonprofit organizations that have been established to provide support to CPRIT on or after June 14, 2013, the effective date of this statutory change. The only nonprofit organization established to provide support to the Institute was the CPRIT Foundation; however, the CPRIT Foundation ceased operations and changed its name and its purpose prior to June 14, 2013. The institute has received no donations from the CPRIT Foundation made on or after June 14, 2013.

I have reviewed the list of donors to CPRIT maintained by CPRIT's accountant and compared the donors to the list of applicants. No donors to CPRIT have submitted applications for grant awards during the award cycles that are the subject of this report.

Pre-Receipt Compliance:

The activities listed in pre-receipt stage cover the period beginning with CPRIT's issuance of the Request for Application (RFA) through the submission of grant applications. CPRIT's administrative rules require that RFAs be publicly posted in the *Texas Register*. The RFA specifies a deadline and mandates that only those applications submitted electronically through CARS are eligible for consideration. CARS blocks an application from being submitted once the deadline passes. Occasionally, an applicant may have technical difficulties that prevent the applicant from completing the application submission. When this occurs, the applicant may request that the deadline be extended to allow for a late submission. The applicant's request is submitted to the CPRIT Helpdesk that is managed by SRA; the program officer considers any requests for extension and may approve an extension for good cause. When an extension request is approved, the applicant is notified and CARS is reopened for a brief period – usually two to three hours – the next business day.

Academic Research:

I note that five applications were received for the Recruitment of Established Investigators RFA, two applications were received for the Recruitment of Rising Starts RFA, and five applications were

received in response to the Recruitment of First-Time, Tenure Track Faculty members RFA. I reviewed the application pedigrees for the 12 recruitment applications that underwent peer review.

All academic recruitment RFAs were posted in the Texas Register and all applications were submitted through CARS. No applicants requested an extension to submit applications past the deadline.

Receipt, Referral, and Assignment Compliance:

Once applications have been submitted through CARS, SRA staff reviews the applications for compliance with RFA directions. If an applicant does not comply with the directions, SRA notifies the program officer and the program officer makes the final decision whether to administratively withdraw the application. Recruitment grant applications are assigned to the Scientific Review Council members for peer review. All other academic research, product development research, and prevention applications are assigned to their respective peer review panels. Prior to distribution of the applications, reviewers are given summary information about the applicant, including the Project Director and collaborators. Reviewers must sign a conflict of interest agreement and confirm that they do not have a conflict of interest with the application before they are provided with the full application.

The pedigrees attest that a conflict of interest statement was signed by each primary reviewer for each Grant Application.

Peer Review:

Primary reviewers (typically three) must submit written critiques for each of their assigned applications prior to the peer review meeting. After the peer review meetings, a final score report from the review committee is delivered to the Review Council for additional review. Following the peer review meeting, each participating peer reviewer must sign a post-review peer review statement certifying that the reviewer knew of and understood CPRIT's conflict of interest policy and followed the policy for this review process.

Academic Research:

For the Recruitment Awards, the applications are reviewed by the Scientific Review Council (SRC), which assigns two members of the SRC to be primary reviewers. I reviewed the primary reviewer critiques and supporting documentation, such as the sign-out sheets, third-party observer reports, and post-review statements. Sign out sheets are used to document when a reviewer with a conflict of interest associated with a particular application leaves the room (or disengages from the conference call) during the discussion and scoring of the application. Three conflicts of interest were declared for the recruitment applications reviewed by the SRC. The reviewers disengaged from the conference call and did not participate in the discussion of the application.

I also reviewed and confirmed that conflict of interest acknowledgements were completed by primary reviewers performing the initial review as well as SRC members that attended the Review Council meetings on November 12, 2015 and January 14, 2016.

Programmatic Review:

Programmatic review is conducted by the Scientific Review Council, Prevention Review Council, and Product Development Review Council for their respective awards. Each review council creates a final list of grant applications it will recommend to the PIC for grant award slates.

For Academic Recruitment, I reviewed that the recommendations correspond to RFAs that have been released, that the pedigrees reflect the date of the review council meeting, and that the applications were recommended by the corresponding review council.

To the extent that any Review Council member identified a conflict of interest, I reviewed documentation confirming that the review council member did not participate in the discussion or vote on the application(s).

I also reviewed the third-party observer reports for each review council meeting. The third-party observer reports document that the review council discussions were limited to the merits of the applications and established evaluation criteria and that conflicted reviewers exited the room or disengaged from the conference call when the application was discussed.

Program Integration Committee (PIC) Review:

Texas Health & Safety Code § 102.051(d) requires the Chief Compliance Officer to attend and observe the PIC meetings to ensure compliance with CPRIT's statute and administrative rules. CPRIT's statute requires that, at the time the PIC's final Grant Award recommendations are formally submitted to the Oversight Committee, the Chief Executive Officer shall prepare a written affidavit for each Grant Application recommended by the PIC containing relevant information related to the Grant Application recommendations.

I attended the February 2, 2016, PIC meeting as an observer and confirm that the PIC review process complied with CPRIT's statute and administrative rules. The PIC considered 8 applications; 8 were recommended to move forward to the Oversight Committee. A review of the CEO affidavits confirms that such affidavits were executed and provided for each Grant Application recommendation.

Academic Research

Recommendation

Items
Academic Research Awards Summary
Review Council Chairman Letter





CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS

MEMORANDUM

TO: OVERSIGHT COMMITTEE MEMBERS
FROM: MARGARET KRIPKE, PH.D., CHIEF SCIENTIFIC OFFICER
SUBJECT: PIC AWARD RECOMMENDATION - FY16 CYCLES 16.4, 16.5, 16.6
RECRUITMENT AWARDS
DATE: FEBRUARY 3, 2016

Summary and Recommendation

The PIC recommends that the Oversight Committee approve eight recruitment awards totaling \$34,000,000. Dr. Richard Kolodner, Chair of CPRIT's Scientific Review Council (SRC), provided the eight recommendations via a letter dated January 25, 2016, for consideration by the PIC and the Oversight Committee. The PIC determined that these eight recommendations fulfill statutory priorities that the PIC must consider when recommending grant awards. In addition, all of the recommendations satisfy two of the Oversight Committee's priorities adopted for the FY 2016 academic research program, with two awards also meeting a third priority to support computational biology and analytic methods.

These recommendations are the result of the SRC's review of 12 recruitment applications submitted to CPRIT between September and December, 2015. Of the eight recommendations to be considered by the Oversight Committee, four recommendations are to recruit established investigators, one is to recruit an investigator considered to be a rising star, and three will recruit first-time, tenure-track faculty members. The candidates are being recruited to The University of Texas M.D. Anderson Cancer Center (four awards), The University of Texas at Austin (two awards), The University of Texas Southwestern Medical Center (one award) and Baylor College of Medicine (one award).

CPRIT's recruitment program has awarded 18 grants totaling \$67.7 million in FY2016, assuming all recruitment awards approved by the Oversight Committee in February are accepted. This is \$700,000 more than the amount awarded for all recruits in FY 2015. Historically, nearly 23% of recruits decline their offer.

FY2016 Cycle 16.4, 16.5 and 16.6 Recruitment Award Process

Applications were submitted in response to request for applications (RFAs) for Recruitment of Established Investigator (REI), Recruitment of Rising Stars (RRS), and Recruitment for First-Time, Tenure Track Faculty Members (RFT) Recruitment Cycles REC 16.4 and REC 16.5-6. Four applications were received for REC 16.4 (2 REI, 1 RFT, and 1 RRS). Two applications were received for REC 16.5 (1 REI and 1 RFT). Six applications were received for REC 16.6 (2 REI, 3 RFT, and 1 RRS). All twelve applications were reviewed, and no applications were administratively rejected for ineligibility. The SRC met to discuss the four applications for REC 16.4 on November 12, 2015. The SRC met again on January 14, 2016 to discuss the eight applications submitted for REC 16.5 and 16.6.

The PIC met on February 2, 2016, to vote on the eight recommendations made by the SRC. All eight recommendations and award amounts were unanimously approved by the PIC. I abstained from voting on award recommendations to M.D. Anderson pursuant to my Conflict of Interest waiver approved for FY 2016.

Statutory and Program Priorities Considered by the PIC

As part of the review process, the PIC must document factors considered in making the grant recommendations to the Oversight Committee, including specific statutory priorities set forth in Texas Health & Safety Code § 102.251(a)(2)(C). For the eight recruitment awards to be considered at the February 17 Oversight Committee meeting, the PIC finds that they fulfill the following statutory priorities:

- could lead to immediate or long-term medical and scientific breakthroughs in the area of cancer prevention or cures for cancer;
- strengthen and enhance fundamental science in cancer research;
- ensure a comprehensive coordinated approach to cancer research;
- are interdisciplinary or interinstitutional;
- address federal or other major research sponsors' priorities in emerging scientific or technology fields in the area of cancer prevention or cures for cancer;
- are matched with funds available by a private or nonprofit entity and institution or institutions of higher education;
- have a demonstrable economic development benefit to this state;
- enhance research superiority at institutions of higher education in this state by creating new research superiority, attracting existing research superiority from institutions not located in this state and other research entities, or enhancing existing research superiority by attracting from outside this state additional researchers and resources;
- expedite innovation and product development, attract, create, or expand private sector entities that will drive a substantial increase in high-quality jobs, and increase higher education applied science or technology research capabilities; and

- address the goals of the Texas Cancer Plan.

The PIC also considered the Oversight Committee's Program Priorities for FY 2016. All of the PIC's recommendations fulfill two priorities identified by the Oversight Committee for academic research:

- The proposed recruitment awards will fund a broad range of innovative, investigator-initiated research projects; and
- The scientists that are recruited to Texas are critically important to add to the life sciences infrastructure in Texas. Bringing these preeminent researchers to Texas not only brings additional resources to the state, including research funding and new expertise, but they help to build the critical mass of science needed to attract investments in the development of products for cancer prevention, diagnosis, and treatment. These recruitments will enable CPRIT's impact on cancer research to extend for years beyond the lifetime of the program.

In addition, the recruitment of Dr. Bing Zhang and Dr. Traver Hart address a third program priority to support computational biology and analytic methods.

Recruitment of Established Investigators (RFA R-16-REI)

Applications Reviewed:	5
Applications Recommended:	4
Total Funding Request:	\$24,000,000

The aim of the Established Investigator RFA is to recruit outstanding senior research faculty with distinguished professional careers and established cancer research programs to academic institutions in Texas. Up to \$6 million may be awarded over a period of five years.

The applications were evaluated and scored by the SRC to determine the candidates' potential to make a significant contribution to the cancer research program of the nominating institution. Review criteria focused on the overall impression of the candidate and his/her potential for continued superb performance as a cancer researcher, his/her scientific merit of the proposed research program, his/her long-term contribution to and impact on the field of cancer research, and strength of the institutional commitment to the candidate.

Questions that were considered by reviewers include: Has the candidate made significant, transformative, and sustained contributions to basic, translational, clinical or population-based cancer research? Is the candidate an established and nationally and/or internationally recognized leader in the field? Has the candidate demonstrated excellence in leadership and teaching? Has the candidate provided mentorship, inspiration, and/or professional training opportunities to junior scientists and students? Does the candidate have a strong record of research funding? Does the candidate have a

publication history in high-impact journals? Does the candidate show evidence of collaborative interaction with others?

- **Daniel J. Leahy, Ph.D.**, is an internationally-recognized structural biologist, and is being recruited as the Chair of the Department of Molecular Biosciences in the College of Natural Sciences at The University of Texas at Austin from the Departments of Biophysics & Biophysical Chemistry and Pharmacology and Molecular Sciences at the Johns Hopkins University School of Medicine. Dr. Leahy is a world leader in four areas of structural biology and biochemistry that relate to cancer: the Epidermal Growth Factor Receptor (EGFR), the EGFR homologs HER2, HER3, and HER4, the Insulin Receptor (IR), and components of the Hedgehog signaling pathway. Each of these factors or pathways is associated with cancer or metabolic disorders and are the target of approved and developmental-stage therapies. In addition to providing basic mechanistic insights, Dr. Leahy's work has played a key role in elucidating the distinctive structures and mechanisms of action of the therapeutic anti-HER2 monoclonal antibodies Trastuzumab (Herceptin®) and Pertuzumab (Perjeta®), which are used to treat common forms of breast and gastric cancer. Dr. Leahy is being recruited with Wei Yang from NIH, who has a strong record of research on mismatch repair, DNA double-strand break repair, and error-prone DNA polymerases. Together they will bring a strong structural biology approach to solving key questions in basic cancer research and translational cancer drug target discovery to the University of Texas at Austin.
- **Xiaodong Cheng, Ph.D.**, is a world-class structural biologist, is a Georgia Research Alliance Eminent Scholar and Professor at Emory University. He is being recruited to The University of Texas M.D. Anderson Cancer Center as a Professor in the department of Molecular and Cellular Oncology. Throughout Dr. Cheng's distinguished career, he has made many seminal discoveries in the field of epigenetics by elucidating the structure and mechanisms of numerous DNA and histone modification enzymes. He is continuing to make strides in this area focusing on generation, recognition and erasure of epigenetic methyl marks on DNA and histones. He was elected as an AAAS fellow in 2012, and recently received the SER-CAT Outstanding Science Award (2015) for his contributions to the Southeast Regional Collaborative Access Team, which is an organization consisting of 21 institutions. With his extraordinary accomplishments, he will be a great asset to the structural biology program at M.D. Anderson. Recruitment of this renowned scientist to would greatly bolster M.D. Anderson's emerging structural biology program.
- **Filippo G. Giancotti, M.D., Ph.D.**, is being recruited to The University of M.D. Anderson Cancer Center, Department of Cancer Biology from the Memorial Sloan Kettering Cancer Center Cell Biology Program, the Department of Cell Biology and Genetics of the Cornell University Graduate School of Biomedical Sciences, and the Gerstner Sloan Kettering Graduate School of Biomedical Sciences. Dr. Giancotti specializes in cell adhesion and signaling, tumor microenvironment, tumor heterogeneity and evolution, biology of metastasis, dormancy and

reactivation, targeted therapies, NF2 mutant kidney cancer & mesothelioma. He is trained as a physician and obtained board certification in Hematology/Oncology in Italy. Through his work, Dr. Giancotti contributed to the discovery of the major fibronectin receptor on fibroblasts and hematopoietic cells. In his postdoctoral research partnerships, he provided the first demonstration that integrins can regulate extracellular matrix assembly and cell proliferation in cancer cells. After establishing his own laboratory in the Department of Pathology of NYU School of Medicine, he and his group were the first to delineate the mechanisms by which integrins activate intracellular signaling. So far in his career, Dr. Giancotti has over 120 publications, with many in high-impact journals, such as Cell, Science, Cancer Cell, Nature Cell Biology and Molecular Cell. His lifetime h-index is 57; two of his papers have been cited over 1,000 times and six have been cited more than 500 times (the total number of citations are more than 17,000). In recognition of his seminal work, Dr. Giancotti has received numerous honors and awards, including a Whitehead Presidential Fellowship, an Established Investigator Award from the American Heart Association, and a MERIT Award from the National Cancer Institute. For his work on metastasis, Dr. Giancotti has recently received an inaugural Outstanding Investigator Award from the National Cancer Institute.

- **Herbert “Kim” Lyerly, M.D.**, is being recruited to the position of Associate Dean and the inaugural Director of the LIVESTRONG Cancer Institutes at the Dell Medical School at The University of Texas Austin from the Departments of Surgery, Pathology, and Immunology of the Duke University Medical Center. Dr. Lyerly’s impressive career spans over 25 years at Duke University’s Cancer Center including 8 years as the Director of Duke’s Cancer Institute. He has extensive experience in clinical trials and has developed a very large and sophisticated research lab at Duke. Dr. Lyerly brings an excellent blend of experience and learning, as he is both a practicing breast cancer surgeon and manages a robust research portfolio. He is uniquely qualified to develop and build the Cancer Institutes at the Dell Medical School. His research career has focused on the basic and clinical immunology of cancer and chronic viral infections. He is nationally recognized for his innovation in bringing basic science concepts to clinical testing. He has developed strategies targeting virally associated tumors with viral specific immune cells and was the first to demonstrate the effectiveness of this approach in eradicating tumors in mice, a technique now in clinical practice. Dr. Lyerly is considered a pioneer in the clinical testing of gene therapies and immunotherapies against several types of cancer. As Dell Medical seeks to reinvent healthcare and rethink education, Dr. Lyerly’s history of creativity and contributions to the field are nothing short of outstanding. Dr. Lyerly has served CPRIT as a product development research reviewer since 2012.

Recruitment of Rising Stars (RFA R-16-RRS)

Applications Reviewed:	2
Applications Recommended:	1
Total Funding Request:	\$4,000,000

The aim of this RFA is to recruit outstanding early-stage investigators to Texas, who have demonstrated the promise for continued and enhanced contributions to the field of cancer research. Up to \$4 million may be awarded over a period of five years.

These applications were evaluated and scored by the SRC to determine the candidate's potential to make a significant contribution to the cancer research program of the nominating institution. Review criteria focused on the overall impression of the candidate and his/her potential for continued superb performance as a cancer researcher, his/her scientific merit of the proposed research program, his/her long-term contribution to and impact on the field of cancer research, and strength of the institutional commitment to the candidate.

Questions that were considered by reviewers include: Has the candidate demonstrated extraordinary accomplishments during his or her initial years of independent research? Does the candidate show promise of making important contributions with significant impact to basic, translational, clinical, or population-based cancer research in the future? Has the candidate demonstrated strong self-direction, motivation, and commitment for transformative cancer research?

- **Bing Zhang, Ph.D.**, is being recruited from Vanderbilt University School of Medicine, Department of Biomedical Informatics and the Vanderbilt-Ingram Cancer Center to Baylor College of Medicine (BCM). During his tenure at Vanderbilt, Dr. Zhang has established an internationally recognized research program in cancer proteogenomics. His seminal work has fostered many new developments in this emerging research field and has led to a Nature publication on the first proteogenomic characterization of human cancer. Dr. Zhang leads multidisciplinary teams that are working actively towards moving proteogenomics from proof of concept to practical use in cancer care. The recruitment of Dr. Zhang to BCM will fill an essential gap in expertise relevant to using proteogenomics and multi-omics data to improve cancer care. This is a critical component of the translational cancer research goals of BCM.

Recruitment of First-Time, Tenure-Track Faculty Members (RFA R-16-RFT)

Applications Reviewed:	5
Applications Recommended:	3
Total Funding Request:	\$6,000,000

The aim of this RFA is to recruit and support very promising emerging investigators, pursuing their first faculty appointment in Texas, who have the ability to make outstanding contributions to the field of cancer research. Up to \$2 million may be awarded over a period of four years.

The applications were evaluated and scored by the SRC to determine the candidates' potential to make a significant contribution to the cancer research program of the nominating institution. Review criteria focused on the overall impression of the candidate and his/her potential for continued superb performance as a cancer researcher, his/her scientific merit of the proposed research program, his/her long-term contribution to and impact on the field of cancer research, and strength of the institutional commitment to the candidate.

Questions that were considered by reviewers include: Has the candidate demonstrated academic excellence? Has the candidate received excellent predoctoral and postdoctoral training? Does the candidate show exceptional potential for achieving future impact on basic, translational, clinical, or population-based cancer research in the future? Has the candidate demonstrated a commitment to cancer research? Has the candidate demonstrated independence or the potential of independence?

Three First-Time, Tenure-Track Faculty Member Award candidates are being recommended for recruitment: two to The University of Texas M.D. Anderson Cancer Center (UTMDA) and one The University of Texas Southwestern Medical Center (UTSW). Listed below is the candidate with his associated expertise. Each has had outstanding training, an excellent record of achievement, and a strong commitment to cancer research.

- **Luke Andrew Gilbert, Ph.D.**, (UTSW) - Cancer biology, genome-wide screening, hematopoietic malignancy, leukemia
- **Traver Hart, Ph.D.**, (UTMDA) - Functional genomics, systems biology, cancer genomics, cell biology, high throughput screening, bioinformatics
- **Alexandre Orthwein, Ph.D.**, (UTSW) - B-cells, lymphoma, cancer, immunology, DNA damage/repair, genomic instability, cell cycle

Ludwig Institute for
Cancer Research Ltd

January 25, 2016

Richard D. Kolodner
Ph.D.

Director, San Diego Branch

Head, Laboratory of
Cancer Genetics
San Diego Branch

Distinguished Professor of
Cellular & Molecular
Medicine, University of
California San Diego School
of Medicine

rkolodner@ucsd.edu

San Diego Branch
UC San Diego School of
Medicine
CMM-East / Rm 3058
9500 Gilman Dr - MC 0669
La Jolla, CA 92093-0669

T 858 534 7804
F 858 534 7750

Mr. Pete Geren
Presiding Officer, CPRIT Oversight Committee
Cancer Prevention and Research Institute of Texas
Via email to pgcprit@sidrichardson.org

Mr. Wayne R. Roberts
Chief Executive Officer
Cancer Prevention and Research Institute of Texas
Via email to wroberts@cprit.state.tx.us

Dear Mr. Geren and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit its list of recruitment grant recommendations. The SRC met on Thursday, November 12, 2015 and Thursday, January 14, 2016 to consider the applications submitted to CPRIT under the **Recruitment of Established Investigator, Recruitment of Rising Stars, and Recruitment for First-Time, Tenure Track Faculty Members** Request for Applications for Recruitment Cycles REC 16.4 and 16.5-6 respectively. The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation score are stated for each grant application. There were no changes to funding amounts, goals, timelines, or project objectives requested by other applicants. The total amount for the applications recommended for all cycles is \$34,000,000.

These recommendations meet the SRC's standards for grant award funding. These standards include selecting candidates at all career levels that have demonstrated academic excellence, innovation, excellent training, a commitment to cancer research, and exceptional potential for achieving future impact in basic, translational, population-based, or clinical research.

Sincerely yours,



Richard D. Kolodner, Ph.D.
Chair, CPRIT Scientific Review Council

Attachment

REC 16.4

Rank	App ID	Candidate	Mechanism	Organization	Budget Request	Overall Score
1	RR160028	Alexandre Orthwein	Recruitment of First-Time, Tenure-Track Faculty Members	The University of Texas M. D. Anderson Cancer Center	\$2,000,000	1.0
2	RR160029	Xiaodong Cheng	Recruitment of Established Investigators	The University of Texas M. D. Anderson Cancer Center	\$6,000,000	1.0
3	RR160023	Daniel Leahy	Recruitment of Established Investigators	The University of Texas at Austin	\$6,000,000	2.0
4	RR160027	Bing Zhang	Recruitment of Rising Stars	Baylor College of Medicine	\$4,000,000	2.0

REC 16.5-6

Rank	App ID	Candidate	Mechanism	Organization/Company	Budget	Overall Score
1	RR160034	Luke Andrew Gilbert	Recruitment of First-Time, Tenure-Track Faculty Members	The University of Texas Southwestern Medical Center	\$2,000,000	1.0
2	RR160030	Herbert Lyerly	Recruitment of Established Investigators	The University of Texas at Austin	\$6,000,000	1.2
3	RR160031	Filippo G. Giancotti	Recruitment of Established Investigators	The University of Texas M. D. Anderson Cancer Center	\$6,000,000	1.8
4	RR160032	Traver Hart	Recruitment of First-Time, Tenure-Track Faculty Members	The University of Texas M. D. Anderson Cancer Center	\$2,000,000	1.8

RR160028 and RR160030 were withdrawn by the applicants after the PIC meeting but before the Oversight Committee meeting.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2016—Cycles 16.4, 16.5, 16.6
Recruitment of Established Investigators

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA R-16-REI-1

**Recruitment of
Established Investigators**

**Please also refer to the Instructions for Applicants document,
which will be posted on June 22, 2015**

Application Receipt Dates:

June 22, 2015-June 20, 2016

FY 2016

Fiscal Year Award Period

September 1, 2015-August 31, 2016

TABLE OF CONTENTS

1. ABOUT CPRIT	4
1.1. RESEARCH PROGRAM PRIORITIES	4
2. RATIONALE	5
3. RECRUITMENT OBJECTIVES.....	5
4. FUNDING INFORMATION	6
5. ELIGIBILITY	7
6. RESUBMISSION POLICY	9
7. RESPONDING TO THIS RFA	9
7.1. APPLICATION SUBMISSION GUIDELINES	9
7.2. APPLICATION COMPONENTS	10
7.2.1. <i>Summary of Nomination (2,500 characters)</i>	10
7.2.2. <i>Institutional Commitment (3 pages)</i>	10
7.2.3. <i>Letter of Support from Department Chair (1 page)</i>	11
7.2.4. <i>Curriculum Vitae (CV)</i>	11
7.2.5. <i>Summary of Goals and Objectives</i>	11
7.2.6. <i>Research (4 pages)</i>	12
7.2.7. <i>Publications</i>	12
7.2.8. <i>Timeline (1 page)</i>	12
7.2.9. <i>Current and Pending Support</i>	12
7.2.10. <i>Research Environment (1 page)</i>	13
7.2.11. <i>Descriptive Biography (Up to 2 pages)</i>	13
8. APPLICATION REVIEW	13
8.1. REVIEW PROCESS.....	13
8.2. CONFIDENTIALITY OF REVIEW	14
8.3. REVIEW CRITERIA.....	14
9. KEY DATES.....	16
10. AWARD ADMINISTRATION.....	16
11. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS.....	17
12. CONTACT INFORMATION.....	17
12.1. HELPDESK	17
12.2. SCIENTIFIC AND PROGRAMMATIC QUESTIONS	18

RFA VERSION HISTORY

Rev 6/22/15 RFA release

Rev 9/11/15 Revised Section 5 – Eligibility

- Revised language to indicate that a candidate who has already accepted a position at the recruiting institution prior to the time that the Scientific Review Council recommends the candidate for a recruitment award is not eligible for a recruitment award. Also clarification was added indicating that “if a position is offered to the candidate during the period following the Scientific Review Council’s recommendation but prior to the Oversight Committee’s final approval, the institution does so at its own risk. There is no guarantee that the recruitment award will be approved by the Oversight Committee.”

1. ABOUT CPRIT

The state of Texas has established the Cancer Prevention and Research Institute of Texas (CPRIT), which may issue up to \$3 billion in general obligation bonds to fund grants for cancer research and prevention.

CPRIT is charged by the Texas Legislature to do the following:

- Create and expedite innovation in the area of cancer research and in enhancing the potential for a medical or scientific breakthrough in the prevention of or cures for cancer;
- Attract, create, or expand research capabilities of public or private institutions of higher education and other public or private entities that will promote a substantial increase in cancer research and in the creation of high-quality new jobs in the state of Texas; and
- Develop and implement the Texas Cancer Plan.

1.1. Research Program Priorities

The Texas Legislature has charged the CPRIT Oversight Committee with establishing program priorities on an annual basis. These priorities are intended to provide transparency in how the Oversight Committee directs the orientation of the agency's funding portfolio. The principles and priorities of the Scientific Research program will guide CPRIT staff, peer reviewers, and the Scientific Review Council on the development and issuance of program-specific Requests for Applications (RFAs) and the evaluation of applications submitted in response to those RFAs. The program priorities for research adopted by the Oversight Committee include funding projects that address:

- A broad range of innovative, investigator-initiated research projects;
- Prevention and early detection;
- Rare and intractable cancers, including childhood cancers;
- Cancers of importance in Texas;
- Computational biology and analytic methods; and
- Infrastructure Development

2. RATIONALE

The aim of this award mechanism is to bolster cancer research in Texas by providing financial support to attract world-class research scientists with distinguished professional careers to Texas universities and cancer research institutes to establish research programs that add research talent to the state. This award will support established academic leaders whose body of work has made an outstanding contribution to cancer research. Awards are intended to provide institutions with a competitive edge in recruiting the world's best talent in cancer research, thereby advancing cancer research efforts and promoting economic development in the state of Texas. The recruitment of outstanding scientists will greatly enhance programs of scientific excellence in cancer research and will position Texas as a leader in the fight against cancer.

Applications may address any research topic related to cancer biology, causation, prevention, detection or screening, or treatment. However, special consideration will be given to candidates with research programs addressing CPRIT's priority areas for research. These include Prevention and Early Detection; Computational Biology and Analytic Methods; Intractable Cancers (brain, lung, liver, pancreas) and Rare Cancers (<15,000 new cases per year), including Childhood, Adolescent and Young Adult Cancers; Population Disparities and Cancers of Particular Importance in Texas (e.g., liver, cervical and lung).

3. RECRUITMENT OBJECTIVES

The goal of this award mechanism is to recruit exceptional faculty to universities and/or cancer research institutions in the state of Texas. This award honors outstanding senior investigators with proven track records of research accomplishments combined with excellence in leadership and teaching. All candidates should be recognized research or clinical investigators, held in the highest esteem by professional colleagues nationally and internationally, whose contributions have had a significant influence on their discipline and, likely, beyond. They must have clearly established themselves as exemplary faculty members with exceptional accomplishments in teaching and advising and/or basic, translational, population-based, or clinical cancer research activities. It is expected that the candidate will contribute significantly to and have a major impact on the institution's overall cancer research initiative. Candidates will be leaders capable of initiating and developing creative ideas leading to novel solutions related to cancer detection,

diagnosis, and/or treatment. They are also expected to maintain and lead a strong research group and have a stellar, high-impact publication portfolio, as well as continue to secure external funding. Furthermore, recipients will lead and inspire undergraduate and graduate students interested in pursuing research careers and will engage in collegial and collaborative relationships with others within and beyond their traditional discipline in an effort to expand the boundaries of cancer research.

Funding will be given for exceptional candidates who will continue to develop new research methods and techniques in the life, population-based, physical, engineering, or computational sciences and apply them to solving outstanding problems in cancer research that have been inadequately addressed or for which there may be an absence of an established paradigm or technical framework. Ideal candidates will have specific expertise in cancer-related areas needed to address an institutional priority. Candidates should be at the career level of a full professor or equivalent. This funding mechanism considers expertise, accomplishments, and breadth of experience as vital metrics for guiding CPRIT's investment in that person's originality, insight, and potential for continued contribution. Relevance to cancer research and to CPRIT's priority areas are important evaluation criteria for CPRIT funding

Unless prohibited by policy, the institution is also expected to bestow on the newly recruited faculty member the prestigious title of "CPRIT Scholar in Cancer Research," and the faculty member should be strongly encouraged to use this title on letterhead, business cards, and other appropriate documents. The title is to be retained as long as the individual remains in Texas.

4. FUNDING INFORMATION

This is a 5-year award and is not renewable. Grant support will be awarded based upon the breadth and nature of the research program proposed. Grant funds of up to \$6 million (total costs) for the 5-year period may be requested. Exceptions to this limit will be entertained only if there is compelling written justification. The award request may include indirect costs of up to 5% of the total award amount (5.263% of the direct costs). CPRIT will make every effort to be flexible in the timing for disbursement of funds; recipients will be asked at the beginning of each year for an estimate of their needs for the year. Funds may not be carried over beyond 5 years. In addition, funds for extraordinary equipment needs may be awarded in the first year of the grant if

very well justified. **Grant funds may be used for salary support of this candidate but may not be used to construct or renovate laboratory space.** Consistent with the statutory mandate that the recipient institution demonstrate that it has funds equivalent to one-half of the total grant award amount dedicated to the individual recruited, a total institutional commitment of 50% of the total award will be required. The institutional commitment can be made on a year-by-year basis and may be fulfilled by demonstrating funds dedicated to salary support and endowment for the individual recruited as well as expenses for research support, laboratory renovation, and/or relocation to Texas. Grant funding from other sources that the recruited individual may bring with him or her to the institution may also be counted toward the amount necessary for the institutional commitment. No annual limit on the number of potential award recipients has been set.

Note: Depending on the availability of funds, nominations submitted in response to this RFA during the current receipt period may be announced and awarded either in the current fiscal year (prior to August 31) or in the first quarter of the next fiscal year (starting September 1).

5. ELIGIBILITY

- The applicant must be a Texas-based entity. Any not-for-profit institution that conducts research is eligible to apply for funding under this award mechanism. A public or private company is not eligible for funding under this award mechanism.
- Candidates must be nominated by the president, provost, vice president for research, or appropriate dean of a Texas-based public or private institution of higher education, including academic health institutions. The application must be submitted on behalf of a specific candidate.
- A candidate may be nominated by only 1 institution. If more than 1 institution is interested in a given candidate, negotiations as to which institution will nominate him or her must be concluded before the nomination is made. There is no limit to the number of applications that an institution may submit during a review cycle.
- A candidate who has already accepted a position at the recruiting institution prior to the time that the Scientific Review Council recommends the candidate for a recruitment award is not eligible for a recruitment award, as an investment by CPRIT is obviously not

necessary. No award is final until approved by the Oversight Committee at a public meeting. However, in recognition of the timeline involved with recruiting highly sought-after candidates who are often considering multiple offers, CPRIT's academic research program staff will notify the nominating institution of the Scientific Review Council's recommendation following the Review Council meeting. If a position is offered to the candidate during the period following the Scientific Review Council's recommendation but prior to the Oversight Committee's final approval, the institution does so at its own risk. There is no guarantee that the recruitment award will be approved by the Oversight Committee.

- The candidate must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, and reside in Texas for the duration of the appointment. The candidate must devote at least 70% time to research activities. Candidates whose major responsibilities are clinical care, teaching or administration are not eligible.
- At the time of the application, the candidate should hold an appointment at the rank of professor (or equivalent) at an accredited academic institution, research institution, industry, government agency, or private foundation not primarily based in Texas. The candidate must not reside in Texas at the time the application is submitted.
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the nominator, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization (or any person related to 1 or more of these individuals within the second degree of consanguinity or affinity), has not made and will not make a contribution to CPRIT or to any foundation specifically created to benefit CPRIT. Prior to final approval of an award, the candidate must provide the same certification.
- An applicant is not eligible to receive a CPRIT grant award if the applicant nominator, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization is related to a CPRIT Oversight Committee member. Prior to final approval of an award, the candidate must provide the same certification.
- The applicant must report whether the applicant institution or organization, the nominator, or other individuals who contribute to the execution of the proposed project in

a substantive, measurable way, whether or not the individuals will receive salary or compensation under the grant award, are currently ineligible to receive federal grant funds or have had a grant terminated for cause within 5 years prior to the submission date of the grant application. Prior to final approval of an award, the candidate must provide the same certification.

CPRIT grants will be awarded by contract to successful applicants. Certain contractual requirements are mandated by Texas law or by administrative rules. Although applicants need not demonstrate the ability to comply with these contractual requirements at the time the application is submitted, applicants should make themselves aware of these standards before submitting a grant application. Significant issues addressed by the CPRIT contract are listed in [Section 10](#) and [Section 11](#). All statutory provisions and relevant administrative rules can be found at www.cprit.state.tx.us.

6. RESUBMISSION POLICY

Resubmissions will not be accepted for the Recruitment of Established Investigators award mechanism. Any nomination for the Recruitment of Established Investigators that was previously submitted to CPRIT and reviewed but was not recommended for funding may not be resubmitted. If a nomination was administratively rejected prior to review, it can be resubmitted in the following cycles.

7. RESPONDING TO THIS RFA

7.1. Application Submission Guidelines

Applications must be submitted via the CPRIT Application Receipt System (CARS) (<https://CPRITGrants.org>). **Only applications submitted through this portal will be considered eligible for evaluation.** The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application is submitted.

Candidates must be nominated by the institution's president, provost, vice president for research, or appropriate dean. The individual submitting the application (nominator) must create a user account in the system to start and submit an application. Furthermore, the Authorized Signing

Official (ASO), who is the person authorized to sign and submit the application for the organization, and the Grants Contract/Office of Sponsored Projects Official, who is the individual who will manage the grant contract if an award is made, also must create a user account in CARS.

Applications will be accepted on a continuous basis throughout the remainder of FY16. In order to manage the timely review of nominations, it is anticipated that applications submitted by 11:59 p.m. on the 20th day of each month will be reviewed by the 15th day of the following month. For an application to be considered for review during the monthly cycle, that application must be submitted on or before 11:59 p.m. CPRIT will not extend the submission deadline. During periods when CPRIT does not receive an adequate number of applications, the review may be extended into the following month. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

7.2. Application Components

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. Please refer to the *Instructions for Applicants* document for details that will be available when the application receipt system opens. Submissions that are missing 1 or more components or do not meet the eligibility requirements listed in [Section 5](#) will be administratively withdrawn without review.

7.2.1. Summary of Nomination (2,500 characters)

Provide a brief summary of the nomination. Include the candidate's name, organization from which the candidate is being recruited, and also the department and/or entity within the nominator's organization where the candidate will hold the faculty position.

7.2.2. Institutional Commitment (3 pages)

Describe the institutional commitment to the candidate, including total salary, institutional support of salary, endowment or other support, space, and all other agreements between the institution and the candidate. **The institutional commitment must state the total award amount requested.** Provide a brief job description for the candidate should recruitment be successful. This information should be supplied in the form of a letter signed by the applicant institution's president, provost, or appropriate dean.

The letter of institutional commitment must demonstrate the organization's commitment to bringing the candidate to Texas. The following guidelines should be used when outlining the institutional match in the letter. This information may be provided as part of paragraph text or as a tabular summary that states the approximate amounts assigned to each item.

Start-up Package: Complete details including salary and fringe benefits, dedicated personnel, amounts for equipment and supplies, and/or infrastructure that will be offered to the candidate as part of the recruitment award.

Endowment Equivalents: The principal of an endowment may not be included as part of the institutional match, but endowment income over the lifetime of the award may be included.

Rent: Amount for recovery of occupying facility space (ie, "rent") is not a permitted institutional commitment item.

7.2.3. Letter of Support from Department Chair (1 page)

Provide the letter of support from and signed by the chair of the department that the candidate is being recruited to. The following information should be included in the letter:

Recruitment Activities: The letter should provide a description of the recruitment activities, strategies, and priorities that have led to the nomination of this candidate.

Caliber of Candidate: The letter should include a description of the caliber of the candidate and justification of nomination of the candidate by the institution.

Description of Candidate Duties and Certification of 70% Time Commitment to Research.

While scholars may engage in direct patient care activities and/or have some administrative or teaching duties, at least 70% of the candidate's time must be available for research. Breach of this requirement will constitute grounds for discontinuation of funding. The certification that 70% time will be spent on research must be included.

7.2.4. Curriculum Vitae (CV)

Provide a complete CV and list of publications for the candidate.

7.2.5. Summary of Goals and Objectives

List very broad goals and objectives to be achieved during this award. **This section must be completed by the candidate.**

7.2.6. Research (4 pages)

Summarize the key elements of the candidate's research accomplishments and provide an overview of the proposed research by outlining the background and rationale, hypotheses and aims, strategies, goals, and projected impact of the focus of the research program. Highlight the innovative aspects of this effort and place it into context with regard to what pressing problem in cancer will be addressed. **This section of the application must be prepared by the candidate. References cited in this section must be included within the stated page limit. Any appropriate citation format is acceptable; official journal abbreviations should be used.**

Candidates for CPRIT Scholar Awards must include the following signed statement at the end of this section. **Applications that do not contain this signed statement will be returned without review.**

"I understand that I do not need to have made a commitment to <*nominating institution*> before this application has been submitted. However, I also understand that only 1 Texas institution may nominate me for a CPRIT Recruitment Award, and this is the nomination that I have endorsed. Requests to change the recruiting institution during the recruitment process are inappropriate."

7.2.7. Publications

Provide the 5 most significant publications that have resulted from the candidate's research efforts. Publications should be uploaded as PDFs of full-text articles. Only articles that have been published or that have been accepted for publication ("in press") should be submitted.

7.2.8. Timeline (1 page)

Provide a general outline of anticipated major award outcomes to be tracked. Timelines will be reviewed during the evaluation of annual progress reports. If the application is approved for funding, this section will be included in the award contract. Applicants are advised not to include information that they consider confidential or proprietary when preparing this section.

7.2.9. Current and Pending Support

State the funding source, duration, and title of all current and pending research support held by the candidate. If the candidate has no current or pending funding, a document stating this must be submitted.

7.2.10. Research Environment (1 page)

Briefly describe the research environment available to support the candidate's research program, including core facilities, training programs, and collaborative opportunities.

7.2.11. Descriptive Biography (Up to 2 pages)

Provide a brief descriptive biography of the candidate, including his or her accomplishments, education and training, professional experience, awards and honors, publications relevant to cancer research, and a brief overview of the candidate's goals if selected to receive the award.

This section of the application must be prepared by the candidate. If the application is approved for funding, this section will be made publicly available on CPRIT's website.

Candidates are advised not to include information that they consider confidential or proprietary when preparing this section.

Applications that are missing 1 or more of these components, exceed the specified page, word, or budget limits, or do not meet the eligibility requirements listed above will be administratively withdrawn without review.

8. APPLICATION REVIEW

8.1. Review Process

All eligible applications will be evaluated and scored by the CPRIT Scientific Review Council using the criteria listed in this RFA. Applications may be submitted continuously in response to this RFA, but will generally be reviewed on a monthly basis by the CPRIT Scientific Review Council. Council members may seek additional ad hoc evaluations of candidates. Scientific Review Council members will discuss applications and provide an individual Overall Evaluation Score that conveys the members' recommendation related to the proposed recruitment.

Applications approved by Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review, prioritization, and recommendation to the CPRIT Oversight Committee for approval and funding. Approval is based on an application receiving a positive vote from at least two-thirds of the members of the Oversight Committee. The review process is described more fully in CPRIT's Administrative Rules, Chapter 703, Sections 703.6–703.8.

The decision of the Scientific Review Council not to recommend an application is final, and such applications may not be resubmitted for a recruitment award. Notification of review decisions are sent to the nominator.

8.2. Confidentiality of Review

Each stage of application review is conducted confidentially, and all CPRIT Scientific Review Council members, Program Integration Committee members, CPRIT employees, and Oversight Committee members with access to grant application information are required to sign nondisclosure statements regarding the contents of the applications. All technological and scientific information included in the application is protected from public disclosure pursuant to Health and Safety Code §102.262(b).

Individuals directly involved with the review process operate under strict conflict-of-interest prohibitions. All CPRIT Scientific Review Council members are non-Texas residents.

By submitting a grant application, the applicant agrees and understands that the only basis for reconsideration of a grant application is limited to an undisclosed conflict of interest as set forth in CPRIT’s Administrative Rules, Chapter 703, Section 703.9.

Communication regarding the substance of a pending application is prohibited between the grant applicant (or someone on the grant applicant’s behalf) and the following individuals—an Oversight Committee member, a Program Integration Committee member, or a Scientific Review Council member. Applicants should note that the CPRIT Program Integration Committee comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention Officer, the Chief Product Development Officer, and the Commissioner of State Health Services. The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. Intentional, serious, or frequent violations of this rule may result in the disqualification of the grant applicant from further consideration for a grant award.

8.3. Review Criteria

Applications will be assessed based on evaluation of the quality of the candidate and his or her potential for continued superb performance as a cancer researcher. Also of critical importance is

the strength of the institutional commitment to the candidate. Recruitment efforts are not likely to be successful unless there is a strong commitment from CPRIT and the host institution. It is not necessary that a candidate agree to accept the recruitment offer at the time an application is submitted. However, applicant institutions should have some reasonable expectation that recruitment will be successful if an award is granted by CPRIT.

Review criteria will focus on the overall impression of the candidate, his/her proposed research program, and his/her long-term contribution to and impact on the field of cancer research.

Questions to be considered by the reviewers are as follows:

Quality of the Candidate: Has the candidate made significant, transformative, and sustained contributions to basic, translational, clinical or population-based cancer research? Is the candidate an established and nationally and/or internationally recognized leader in the field? Has the candidate demonstrated excellence in leadership and teaching? Has the candidate provided mentorship, inspiration, and/or professional training opportunities to junior scientists and students? Does the candidate have a strong record of research funding? Does the candidate have a publication history in high-impact journals? Does the candidate show evidence of collaborative interaction with others?

Scientific Merit of Proposed Research: Is the research plan comprehensive and well thought out? Does the proposed research program demonstrate innovation, creativity, and feasibility? Will it expand the boundaries of cancer research beyond traditional methodology by incorporating novel and interdisciplinary techniques? Does the research program integrate with and/or increase collaborative research efforts and relationships at the nominating institution?

Relevance of Candidate's Research: Is the proposed research likely to have a significant impact on reducing the burden of cancer in the near term? Does the research contribute to basic, translational, clinical, or population-based cancer research?

Research Environment: Does the institution have the necessary facilities, expertise, and resources to support the candidate's research program? Is there evidence of strong institutional support? Will the candidate be free of major administrative/clinical responsibilities so that he or she can focus on maintaining and enhancing his or her research program?

9. KEY DATES

RFA

RFA Release

June 22, 2015

Application Receipt and Review Timeline

Application Receipt System opens, 7 AM CT	Application Receipt	Anticipated Application Review	Application Closing Date
June 22, 2015	Continuous	Monthly by the 15 th day of the month	June 20, 2016

10. AWARD ADMINISTRATION

Texas law requires that CPRIT grant awards be made by contract between the applicant and CPRIT. CPRIT grant awards are made to institutions or organizations, not to individuals. Awards made under this RFA are not transferable to another institution. Award contract negotiation and execution will commence once the CPRIT Oversight Committee has approved an application for a grant award.

CPRIT may require, as a condition of receiving a grant award, that the grant recipient use CPRIT's electronic Grant Management System to exchange, execute, and verify legally binding grant contract documents and grant award reports. Such use shall be in accordance with CPRIT's electronic signature policy as set forth in Chapter 701, Section 701.25.

Texas law specifies several components that must be addressed by the award contract, including needed compliance and assurance documentation, budgetary review, progress and fiscal monitoring, and terms relating to revenue sharing and intellectual property rights. These contract provisions are specified in CPRIT's Administrative Rules, which are available at www.cprit.state.tx.us.

Applicants are advised to review CPRIT's Administrative Rules related to contractual requirements associated with CPRIT grant awards and limitations related to the use of CPRIT grant awards as set forth in Chapter 703, Sections 703.10, 703.12.

Prior to disbursement of grant award funds, the grant recipient organization must demonstrate that it has adopted and enforces a tobacco-free workplace policy consistent with the requirements set forth in CPRIT's Administrative Rules, Chapter 703, Section 703.20.

CPRIT requires award recipients to submit an annual progress report. These reports summarize the progress made toward the research goals and address plans for the upcoming year. In addition, fiscal reporting, human studies reporting, and vertebrate animal use reporting will be required as appropriate. Continuation of funding is contingent upon the timely receipt of these reports. Failure to provide timely and complete reports may waive reimbursement of grant award costs and may result in the termination of the award contract. Forms and instructions will be made available at www.cprit.state.tx.us.

11. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS

Texas law requires that prior to disbursement of CPRIT grant funds, the award recipient must demonstrate that it has an amount of funds equal to one-half of the CPRIT funding dedicated to the research that is the subject of the award. The demonstration of available matching funds must be made at the time the award contract is executed and annually thereafter, not when the application is submitted. Grant applicants are advised to consult CPRIT's Administrative Rules, Chapter 703, Section 703.11 for specific requirements regarding the demonstration of available funding.

12. CONTACT INFORMATION

12.1. HelpDesk

HelpDesk support is available for questions regarding user registration and online submission of applications. Queries submitted via e-mail will be answered within 1 business day. HelpDesk staff members are not in a position to answer questions regarding scientific aspects of applications.

Dates of operation: June 22, 2015, onward (excluding public holidays)

Hours of operation: Monday, Tuesday, Thursday, Friday, 7 AM to 4 PM central time
Wednesday, 8 AM to 4 PM central time

Tel: 866-941-7146

E-mail: Help@CPRITGrants.org

12.2. Scientific and Programmatic Questions

Questions regarding the CPRIT Program, including questions regarding this or other funding opportunities, should be directed to the CPRIT Senior Program Manager for Research.

Tel: 512-305-8491

E-mail: Help@CPRITGrants.org

Website: www.cprit.state.tx.us

Third Party Observer Reports

CPRIT Recruitment Scientific Review Council Meeting Observation Report

Report #2015-11-12-RES

Program Name: Academic Research

Panel Name: FY16.4 Recruitment Review Panel

Panel Date: November 12, 2015

Report Date: November 20, 2015

Background

As part of CPRIT's on-going emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the application and focused on the established evaluation criteria, CPRIT is implementing the use of a third-party observer at every in-person and telephone conference peer review meeting. CPRIT has authorized an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Recruitment Review Panel peer review of applications for FY16 funding. The meeting was chaired by Richard Kolodner and held via teleconference on November 12, 2015.

Panel Observation Objectives and Scope

The third-party observation was limited to observing whether the following objectives were met:

- CPRIT's established procedures for panelists who have declared a conflict of interest are followed during the meeting (e.g., reviewers leave room or do not participate in the telephone conference if they have a conflict);
- CPRIT program staff participation is limited to offering general points of information when asked by peer review panel members;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications;
- The peer review panel discussion is focused on the established scoring criteria.

Observation Results Summary

The independent observer participated in the Recruitment Review Panel meeting held via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on November 12, 2015

The independent observer noted the following during our observation:

- Four applications were discussed within the Recruitment Scientific Review Council Meeting to determine which grants would receive CPRIT funding.
- Five peer review panelists, two CPRIT staff members and two SRA employees were present for the meeting.
- One conflict of interest was identified prior to or during the meeting. Applications for one conflict was discussed during the peer review panel. The reviewer with the conflict of interest either left the room or did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

- An evaluation of the appropriateness or rigor of the review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer was not engaged to and did not conduct an examination or review, the objective of which would be the expression of an opinion or limited assurance on the accuracy of voting and scoring. Accordingly, we will not express such an opinion or limited assurance. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT and its management and its Oversight Committee members and is not intended to be and should not be used by anyone other than these specified parties.

CPRIT Recruitment Scientific Review Council Meeting Observation Report

Report #2016-01-14-RES

Program Name: Academic Research

Panel Name: FY16.5 and FY16.6 Recruitment Review
Panel

Panel Date: January 14, 2016

Report Date: January 25, 2016

Background

As part of CPRIT's on-going emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the application and focused on the established evaluation criteria, CPRIT is implementing the use of a third-party observer at every in-person and telephone conference peer review meeting. CPRIT has authorized an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Recruitment Review Panel peer review of applications for FY16 funding. The meeting was chaired by Richard Kolodner and held via teleconference on January 14, 2016.

Panel Observation Objectives and Scope

The third-party observation was limited to observing whether the following objectives were met:

- CPRIT's established procedures for panelists who have declared a conflict of interest are followed during the meeting (e.g., reviewers leave room or do not participate in the telephone conference if they have a conflict);
- CPRIT program staff participation is limited to offering general points of information when asked by peer review panel members;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications;
- The peer review panel discussion is focused on the established scoring criteria.

Observation Results Summary

The independent observer participated in the Recruitment Review Panel meeting held via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on January 14, 2016.

The independent observer noted the following during our observation:

- Eight applications were discussed within the Recruitment Scientific Review Council Meeting to determine which grants would receive CPRIT funding.
- Seven peer review panelists, two CPRIT staff members and three SRA employees were present for the meeting.
- Two conflicts of interest were identified prior to or during the meeting. Applications for two conflicts were discussed during the peer review panel. The reviewers with the conflict of interest did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

- An evaluation of the appropriateness or rigor of the review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer was not engaged to and did not conduct an examination or review, the objective of which would be the expression of an opinion or limited assurance on the accuracy of voting and scoring. Accordingly, we will not express such an opinion or limited assurance. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT and its management and its Oversight Committee members and is not intended to be and should not be used by anyone other than these specified parties.

Noted Conflicts of Interest

Conflicts of Interest for Academic Research Recruitment Cycles

16.4, 16.5, 16.6, Applications

Academic Research Recruitment Cycle 16.4, 16.5, 16.6, Applications

Awards Announced at February 17, 2016, Oversight Committee Meeting

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in 16.4, 16.5, 16.6, *Recruitment of Rising Stars*, *Recruitment of Established Investigators*, and *Recruitment of First-Time, Tenure-Track Faculty Members*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant	Institution	Conflict Noted
Applications considered by the PIC and Oversight Committee			
RR160029	Dmitrovsky, Ethan	The University of Texas M.D. Anderson Cancer Center	Jones, Peter
RR160031	Dmitrovsky, Ethan	The University of Texas M.D. Anderson Cancer Center	O'Reilly, Richard
Applications Not Recommended for PIC or Oversight Committee Consideration			
RR160039	Fitz, John	The University of Texas Southwestern Medical Center	Gambhir, Sanjiv Sam

* = Not discussed

De-Identified Overall Evaluation Scores

Recruitment of Established Investigators

Academic Research Recruitment Cycles 16.4, 16.5, 16.6

Application ID	Final Overall Evaluation Score
RR160029*	1.0
RR160030*	1.2
RR160031*	1.8
RR160023*	2.0
b	2.8

*=Recommended for funding

Final Overall Evaluation Scores and Rank Order Scores

**Ludwig Institute for
Cancer Research Ltd**

January 25, 2016

**Richard D. Kolodner
Ph.D.**

Director, San Diego Branch

Head, Laboratory of
Cancer Genetics
San Diego Branch

Distinguished Professor of
Cellular & Molecular
Medicine, University of
California San Diego School
of Medicine

rkolodner@ucsd.edu

San Diego Branch
UC San Diego School of
Medicine
CMM-East / Rm 3058
9500 Gilman Dr - MC 0669
La Jolla, CA 92093-0669

T 858 534 7804
F 858 534 7750

Mr. Pete Geren
Presiding Officer, CPRIT Oversight Committee
Cancer Prevention and Research Institute of Texas
Via email to pgcprit@sidrichardson.org

Mr. Wayne R. Roberts
Chief Executive Officer
Cancer Prevention and Research Institute of Texas
Via email to wroberts@cprit.state.tx.us

Dear Mr. Geren and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit its list of recruitment grant recommendations. The SRC met on Thursday, November 12, 2015 and Thursday, January 14, 2016 to consider the applications submitted to CPRIT under the **Recruitment of Established Investigator, Recruitment of Rising Stars, and Recruitment for First-Time, Tenure Track Faculty Members** Request for Applications for Recruitment Cycles REC 16.4 and 16.5-6 respectively. The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation score are stated for each grant application. There were no changes to funding amounts, goals, timelines, or project objectives requested by other applicants. The total amount for the applications recommended for all cycles is \$34,000,000.

These recommendations meet the SRC's standards for grant award funding. These standards include selecting candidates at all career levels that have demonstrated academic excellence, innovation, excellent training, a commitment to cancer research, and exceptional potential for achieving future impact in basic, translational, population-based, or clinical research.

Sincerely yours,



Richard D. Kolodner, Ph.D.
Chair, CPRIT Scientific Review Council

Attachment

REC 16.4

Rank	App ID	Candidate	Mechanism	Organization	Budget Request	Overall Score
1	RR160028	Alexandre Orthwein	Recruitment of First-Time, Tenure-Track Faculty Members	The University of Texas M. D. Anderson Cancer Center	\$2,000,000	1.0
2	RR160029	Xiaodong Cheng	Recruitment of Established Investigators	The University of Texas M. D. Anderson Cancer Center	\$6,000,000	1.0
3	RR160023	Daniel Leahy	Recruitment of Established Investigators	The University of Texas at Austin	\$6,000,000	2.0
4	RR160027	Bing Zhang	Recruitment of Rising Stars	Baylor College of Medicine	\$4,000,000	2.0

REC 16.5-6

Rank	App ID	Candidate	Mechanism	Organization/Company	Budget	Overall Score
1	RR160034	Luke Andrew Gilbert	Recruitment of First-Time, Tenure-Track Faculty Members	The University of Texas Southwestern Medical Center	\$2,000,000	1.0
2	RR160030	Herbert Lyerly	Recruitment of Established Investigators	The University of Texas at Austin	\$6,000,000	1.2
3	RR160031	Filippo G. Giancotti	Recruitment of Established Investigators	The University of Texas M. D. Anderson Cancer Center	\$6,000,000	1.8
4	RR160032	Traver Hart	Recruitment of First-Time, Tenure-Track Faculty Members	The University of Texas M. D. Anderson Cancer Center	\$2,000,000	1.8



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2016—Cycles 16.4, 16.5, 16.6
*Recruitment of First-Time,
Tenure-Track Faculty Members*

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA R-16-RFT-1

**Recruitment of First-Time
Tenure-Track Faculty Members**

**Please also refer to the Instructions for Applicants document,
which will be posted on June 22, 2015**

Application Receipt Dates:

June 22, 2015-June 20, 2016

FY 2016

Fiscal Year Award Period

September 1, 2015-August 31, 2016

TABLE OF CONTENTS

1. ABOUT CPRIT	4
1.1. RESEARCH PROGRAM PRIORITIES	4
2. RATIONALE	5
3. RECRUITMENT OBJECTIVES.....	5
4. FUNDING INFORMATION	6
5. ELIGIBILITY	7
6. RESUBMISSION POLICY	9
7. RESPONDING TO THIS RFA	9
7.1. APPLICATION SUBMISSION GUIDELINES	9
7.2. APPLICATION COMPONENTS	10
7.2.1. <i>Summary of Nomination (2,000 characters)</i>	10
7.2.2. <i>Institutional Commitment (3 pages)</i>	10
7.2.3. <i>Letter of Support from Department Chair (1 page)</i>	11
7.2.4. <i>Curriculum Vitae (CV)</i>	11
7.2.5. <i>Summary of Goals and Objectives</i>	11
7.2.6. <i>Research (4 pages)</i>	12
7.2.7. <i>Publications</i>	12
7.2.8. <i>Timeline (1 page)</i>	12
7.2.9. <i>Current and Pending Support</i>	12
7.2.10. <i>Letters of Recommendation</i>	13
7.2.11. <i>Research Environment (1 page)</i>	13
7.2.12. <i>Descriptive Biography (Up to 2 pages)</i>	13
8. APPLICATION REVIEW	13
8.1. REVIEW PROCESS.....	13
8.1.1. <i>Confidentiality of Review</i>	14
8.2. REVIEW CRITERIA.....	15
9. KEY DATES.....	16
10. AWARD ADMINISTRATION.....	16
11. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS.....	17
12. CONTACT INFORMATION.....	18
12.1. HELPDESK	18
12.2. SCIENTIFIC AND PROGRAMMATIC QUESTIONS	18

RFA VERSION HISTORY

Rev 6/22/15 RFA release

Rev 9/11/15 Revised Section 5 – Eligibility

- Revised language to indicate that a candidate who has already accepted a position at the recruiting institution prior to the time that the Scientific Review Council recommends the candidate for a recruitment award is not eligible for a recruitment award. Also clarification was added indicating that “if a position is offered to the candidate during the period following the Scientific Review Council’s recommendation but prior to the Oversight Committee’s final approval, the institution does so at its own risk. There is no guarantee that the recruitment award will be approved by the Oversight Committee.”

1. ABOUT CPRIT

The state of Texas has established the Cancer Prevention and Research Institute of Texas (CPRIT), which may issue up to \$3 billion in general obligation bonds to fund grants for cancer research and prevention.

CPRIT is charged by the Texas Legislature to do the following:

- Create and expedite innovation in the area of cancer research and in enhancing the potential for a medical or scientific breakthrough in the prevention of or cures for cancer;
- Attract, create, or expand research capabilities of public or private institutions of higher education and other public or private entities that will promote a substantial increase in cancer research and in the creation of high-quality new jobs in the state of Texas; and
- Develop and implement the Texas Cancer Plan.

1.1. Research Program Priorities

The Texas Legislature has charged the CPRIT Oversight Committee with establishing program priorities on an annual basis. These priorities are intended to provide transparency in how the Oversight Committee directs the orientation of the agency's funding portfolio. The principles and priorities of the Scientific Research program will guide CPRIT staff, peer reviewers, and the Scientific Review Council on the development and issuance of program-specific Requests for Applications (RFAs) and the evaluation of applications submitted in response to those RFAs. The program priorities for research adopted by the Oversight Committee include funding projects that address:

- A broad range of innovative, investigator-initiated research projects;
- Prevention and early detection;
- Rare and intractable cancers, including childhood cancers;
- Cancers of importance in Texas;
- Computational biology and analytic methods; and
- Infrastructure Development

2. RATIONALE

The aim of this award mechanism is to bolster cancer research in Texas by providing financial support to attract very promising investigators who are pursuing their first faculty appointment at the level of assistant professor (first-time, tenure-track faculty members). These individuals must have demonstrated academic excellence, innovation during predoctoral and/or postdoctoral research training, commitment to pursuing cancer research, and exceptional potential for achieving future impact in basic, translational, population-based, or clinical research. Awards are intended to provide institutions with a competitive edge in recruiting the world's best talent in cancer research, thereby advancing cancer research efforts and promoting economic development in the state of Texas.

The recruitment of outstanding scientists will greatly enhance programs of scientific excellence in cancer research and will position Texas as a leader in the fight against cancer. Applications may address any research topic related to cancer biology, causation, prevention, detection or screening, or treatment. However, special consideration will be given to candidates with research programs addressing CPRIT's priority areas for research. These include Prevention and Early Detection; Computational Biology and Analytic Methods; Intractable Cancers (brain, lung, liver, pancreas) and Rare Cancers (<15,000 new cases per year), including Childhood, Adolescent and Young Adult Cancers; Population Disparities and Cancers of Particular Importance in Texas (e.g., liver, cervical and lung).

3. RECRUITMENT OBJECTIVES

The goal of this award mechanism is to recruit exceptional faculty to universities and/or cancer research institutions in the state of Texas. All candidates are expected to have completed their doctoral and fellowship training and to have clearly demonstrated truly superior ability as evidenced by their accomplishments during training, proposed research plan, publication record, and letters of recommendation. This CPRIT-supported initiative is designed to enhance innovative programs of excellence by providing research support for promising, early-stage investigators **seeking their first tenure-track position**. CPRIT will provide start-up funding for newly independent investigators, with the goal of augmenting and expanding the institution's efforts in cancer research. Candidates will be expected to develop research projects within the sponsoring institution. Projects should be appropriate for a newly independent investigator and

should foster the development of preliminary data that can be used to prepare applications for future independent research project grants to further both the investigator's research career and the CPRIT mission. The institution will be expected to work with each newly recruited research faculty member to design and execute a faculty career development plan consistent with his or her research emphasis. Relevance to cancer research and to CPRIT's priority areas are important evaluation criteria for CPRIT funding.

Unless prohibited by policy, the institution is also expected to bestow on the newly recruited faculty member the prestigious title of "CPRIT Scholar in Cancer Research," and the faculty member should be strongly encouraged to use this title on letterhead, business cards, and other appropriate documents. The title is to be retained as long as the individual remains in Texas.

4. FUNDING INFORMATION

This is a 4-year award and is not renewable, although individuals may apply for other future CPRIT funding as appropriate. Grant funds of up to \$2,000,000 (total costs) for the 4-year period may be requested. Funding is to be used by the candidate to support his or her research program. The award request may include indirect costs of up to 5% of the total award amount (5.263% of the direct costs). CPRIT will make every effort to be flexible in the timing for disbursement of funds; recipients will be asked at the beginning of each year for an estimate of their needs for the year. Funds may not be carried over beyond 4 years. In addition, funds for extraordinary equipment needs may be awarded in the first year of the grant if very well justified.

Grant funds may not be used for salary support of this candidate or to construct or renovate laboratory space. Consistent with the statutory mandate that the recipient institution demonstrate that it has funds equivalent to one-half of the total grant award amount dedicated to the individual recruited, a total institutional commitment of 50% of the total award will be required. The institutional commitment can be made on a year-by-year basis and may be fulfilled by demonstrating funds dedicated to salary support for the individual recruited as well as expenses for research support, laboratory renovation, and/or relocation to Texas. Grant funding from other sources that the recruited individual may bring with him or her to the institution may also be counted toward the amount necessary for the institutional commitment. No annual limit on the number of potential award recipients has been set.

Note: Depending on the availability of funds, nominations submitted in response to this RFA during the current receipt period may be announced and awarded either in the current fiscal year (prior to August 31) or in the first quarter of the next fiscal year (starting September 1).

5. ELIGIBILITY

- The applicant must be a Texas-based entity. Any not-for-profit institution that conducts research is eligible to apply for funding under this award mechanism. A public or private company is not eligible for funding under this award mechanism.
- Candidates must be nominated by the president, provost, vice president for research, or appropriate dean of a Texas-based public or private institution of higher education, including academic health institutions. The application must be submitted on behalf of a specific candidate.
- A candidate may be nominated by only 1 institution. If more than 1 institution is interested in a given candidate, negotiations as to which institution will nominate him or her must be concluded before the nomination is made. There is no limit to the number of applications that an institution may submit during a review cycle.
- A candidate who has already accepted a position as assistant professor tenure track at the recruiting institution prior to the time that the Scientific Review Council recommends the candidate for a recruitment award is not eligible for a recruitment award, as an investment by CPRIT is obviously not necessary. No award is final until approved by the Oversight Committee at a public meeting. However, in recognition of the timeline involved with recruiting highly sought-after candidates who are often considering multiple offers, CPRIT's academic research program staff will notify the nominating institution of the Scientific Review Council's recommendation following the Review Council meeting. If a position is offered to the candidate during the period following the Scientific Review Council's recommendation but prior to the Oversight Committee's final approval, the institution does so at its own risk. There is no guarantee that the recruitment award will be approved by the Oversight Committee.
- The candidate must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, and reside in Texas for the duration of the appointment. The

candidate must devote at least 70% time to research activities. Candidates whose major responsibilities are clinical care, teaching, or administration are not eligible.

- At the time of the application, the candidate **must not** hold an appointment at the rank of assistant professor or above (or equivalent) at an accredited academic institution, research institution, industry, government agency, or private foundation not primarily based in Texas. Candidates holding non-tenure-track appointments at the rank of assistant professor are not eligible for this award. Examples of such appointments include Research Assistant Professor, Adjunct Research Assistant Professor, Assistant Professor (Non-Tenure Track), etc. The candidate may or may not reside in Texas at the time the application is submitted and may be nominated for a faculty position at the Texas institution where they are completing postdoctoral training.
- Successful candidates will be offered tenure-track academic positions at the rank of assistant professor.
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the nominator, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization (or any person related to 1 or more of these individuals within the second degree of consanguinity or affinity), has not made and will not make a contribution to CPRIT or to any foundation specifically created to benefit CPRIT. Prior to final approval of an award, the candidate must provide the same certification.
- An applicant is not eligible to receive a CPRIT grant award if the applicant nominator, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization is related to a CPRIT Oversight Committee member. Prior to final approval of an award, the candidate must provide the same certification.
- The applicant must report whether the applicant institution or organization, the nominator, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not the individuals will receive salary or compensation under the grant award, are currently ineligible to receive federal grant funds or have had a grant terminated for cause within 5 years prior to the submission date

of the grant application. Prior to final approval of an award, the candidate must provide the same certification.

CPRIT grants will be awarded by contract to successful applicants. Certain contractual requirements are mandated by Texas law or by administrative rules. Although applicants need not demonstrate the ability to comply with these contractual requirements at the time the application is submitted, applicants should make themselves aware of these standards before submitting a grant application. Significant issues addressed by the CPRIT contract are listed in [Section 10](#) and [Section 11](#). All statutory provisions and relevant administrative rules can be found at www.cprit.state.tx.us.

6. RESUBMISSION POLICY

Resubmissions will not be accepted for the Recruitment of First-Time, Tenure-Track Faculty Members award mechanism. Any nomination for the Recruitment of First-Time, Tenure-Track Faculty Members that was previously submitted to CPRIT and reviewed but was not recommended for funding may not be resubmitted. If a nomination was administratively rejected prior to review, it can be resubmitted in the following cycles.

7. RESPONDING TO THIS RFA

7.1. Application Submission Guidelines

Applications must be submitted via the CPRIT Application Receipt System (CARS) (<https://CPRITGrants.org>). **Only applications submitted through this portal will be considered eligible for evaluation.** The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application is submitted. Candidates must be nominated by the institution's president, provost, vice president for research, or appropriate dean. The individual submitting the application (nominator) must create a user account in the system to start and submit an application. Furthermore, the Authorized Signing Official (ASO), who is the person authorized to sign and submit the application for the organization, and the Grants Contract/Office of Sponsored Projects Official, who is the individual who will manage the grant contract if an award is made, also must create a user account in CARS.

Applications will be accepted on a continuous basis throughout the remainder of FY16. In order to manage the timely review of nominations, it is anticipated that applications submitted by 11:59 p.m. on the 20th day of each month will be reviewed by the 15th day of the following month. For an application to be considered for review during the monthly cycle, that application must be submitted on or before 11:59 p.m. CPRIT will not extend the submission deadline. During periods when CPRIT does not receive an adequate number of applications, the review may be extended into the following month. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

7.2. Application Components

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. Please refer to the *Instructions for Applicants* document for details that will be available when the application receipt system opens. Submissions that are missing 1 or more components or do not meet the eligibility requirements listed in [Section 5](#) will be administratively withdrawn without review.

7.2.1. Summary of Nomination (2,000 characters)

Provide a brief summary of the nomination. Include the candidate's name, organization from which the candidate is being recruited, and also the department and/or entity within the nominator's organization where the candidate will hold the faculty position.

7.2.2. Institutional Commitment (3 pages)

Describe the institutional commitment to the candidate, including total salary, institutional support of salary, endowment or other support, space, and all other agreements between the institution and the candidate. **The institutional commitment must state the total award amount requested.** Provide a brief job description for the candidate should recruitment be successful. This information should be supplied in the form of a letter signed by the applicant institution's president, provost, or appropriate dean. The letter of institutional commitment must demonstrate the organization's commitment to bringing the candidate to Texas. The following guidelines should be used when outlining the institutional match in the letter. This information may be provided as part of paragraph text or as a tabular summary that states the approximate amounts assigned to each item.

Start-up Package: Complete details including salary and fringe benefits, dedicated personnel, amounts for equipment and supplies, and/or infrastructure that will be offered to the candidate as part of the recruitment award.

Rent: Amount for recovery of occupying facility space (ie, “rent”) is not a permitted institutional commitment item.

7.2.3. Letter of Support from Department Chair (1 page)

Provide the letter of support from and signed by the chair of the department that the candidate is being recruited to. The following information should be included in the letter:

Recruitment Activities: The letter should provide a description of the recruitment activities, strategies, and priorities that have led to the nomination of this candidate.

Caliber of Candidate: The letter should include a description of the caliber of the candidate and justification of the nomination of the candidate by the institution.

Description of Candidate Duties and Certification of 70% Time Commitment to Research.

While scholars may engage in direct patient care activities and/or have some administrative or teaching duties, at least 70% of the candidate’s time must be available for research. Breach of this requirement will constitute grounds for discontinuation of funding. The certification that 70% time will be spent on research must be included.

The letter of support from the department chair must also do the following:

1. Describe how the candidate will be independent and autonomous in developing his or her research program at the institution;
2. Present a plan for mentoring that includes the design and execution of a faculty career development plan for the candidate.

7.2.4. Curriculum Vitae (CV)

Provide a complete CV and list of publications for the candidate.

7.2.5. Summary of Goals and Objectives

List very broad goals and objectives to be achieved during this award. **This section must be completed by the candidate.**

7.2.6. Research (4 pages)

Summarize the key elements of the candidate's research accomplishments and provide an overview of the proposed research by outlining the background and rationale, hypotheses and aims, strategies, goals, and projected impact of the focus of the research program. Highlight the innovative aspects of this effort and place it into context with regard to what pressing problem in cancer will be addressed. **This section of the application must be prepared by the candidate. References cited in this section must be included within the stated page limit. Any appropriate citation format is acceptable; official journal abbreviations should be used.**

Candidates for CPRIT Scholar Awards must include the following signed statement at the end of this section. **Applications that do not contain this signed statement will be returned without review.**

"I understand that I do not need to have made a commitment to <*nominating institution*> before this application has been submitted. However, I also understand that only 1 Texas institution may nominate me for a CPRIT Recruitment Award, and this is the nomination that I have endorsed. Requests to change the recruiting institution during the recruitment process are inappropriate."

7.2.7. Publications

Provide the 3 most significant publications that have resulted from the candidate's research efforts. Publications should be uploaded as PDFs of full-text articles. Only articles that have been published or that have been accepted for publication ("in press") should be submitted.

7.2.8. Timeline (1 page)

Provide a general outline of anticipated major award outcomes to be tracked. Timelines will be reviewed during the evaluation of annual progress reports. If the application is approved for funding, this section will be included in the award contract. Applicants are advised not to include information that they consider confidential or proprietary when preparing this section.

7.2.9. Current and Pending Support

State the funding source, duration, and title of all current and pending research support held by the candidate. If the candidate has no current or pending funding, a document stating this must be submitted.

7.2.10. Letters of Recommendation

Provide 3 letters of recommendation from individuals who are in a position to detail the candidate's academic and scientific research accomplishments, potential for high-impact research, and ability to make a significant contribution to the field of cancer research.

7.2.11. Research Environment (1 page)

Briefly describe the research environment available to support the candidate's research program, including core facilities, training programs, and collaborative opportunities.

7.2.12. Descriptive Biography (Up to 2 pages)

Provide a brief descriptive biography of the candidate, including his or her accomplishments, education and training, professional experience, awards and honors, publications relevant to cancer research, and a brief overview of the candidate's goals if selected to receive the award.

This section of the application must be prepared by the candidate. If the application is approved for funding, this section will be made publicly available on CPRIT's website.

Candidates are advised not to include information that they consider confidential or proprietary when preparing this section.

Applications that are missing 1 or more of these components, exceed the specified page, word, or budget limits, or do not meet the eligibility requirements listed above will be administratively withdrawn without review.

8. APPLICATION REVIEW

8.1. Review Process

All eligible applications will be evaluated and scored by the CPRIT Scientific Review Council using the criteria listed in this RFA. Applications may be submitted continuously in response to this RFA, but will generally be reviewed on a monthly basis by the CPRIT Scientific Review Council. Council members may seek additional ad hoc evaluations of candidates. Scientific Review Council members will discuss applications and provide an individual Overall Evaluation Score that conveys the members' recommendation related to the proposed recruitment. Applications approved by Council will be forwarded to the CPRIT Program Integration

Committee (PIC) for review, prioritization, and recommendation to the CPRIT Oversight Committee for approval and funding. Approval is based on an application receiving a positive vote from at least two-thirds of the members of the Oversight Committee. The review process is described more fully in CPRIT's Administrative Rules, Chapter 703, Sections 703.6–703.8.

The decision of the Scientific Review Council not to recommend an application is final, and such applications may not be resubmitted for a recruitment award. Notification of review decisions are sent to the nominator.

8.1.1. Confidentiality of Review

Each stage of application review is conducted confidentially, and all CPRIT Scientific Review Council members, Program Integration Committee members, CPRIT employees, and Oversight Committee members with access to grant application information are required to sign nondisclosure statements regarding the contents of the applications. All technological and scientific information included in the application is protected from public disclosure pursuant to Health and Safety Code §102.262(b).

Individuals directly involved with the review process operate under strict conflict-of-interest prohibitions. All CPRIT Scientific Review Council members are non-Texas residents.

By submitting a grant application, the applicant agrees and understands that the only basis for reconsideration of a grant application is limited to an undisclosed conflict of interest as set forth in CPRIT's Administrative Rules, Chapter 703, Section 703.9.

Communication regarding the substance of a pending application is prohibited between the grant applicant (or someone on the grant applicant's behalf) and the following individuals—an Oversight Committee member, a Program Integration Committee member, or a Scientific Review Council member. Applicants should note that the CPRIT Program Integration Committee comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention Officer, the Chief Product Development Officer, and the Commissioner of State Health Services. The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. Intentional,

serious, or frequent violations of this rule may result in the disqualification of the grant applicant from further consideration for a grant award.

8.2. Review Criteria

Applications will be assessed based on evaluation of the quality of the candidate and his or her potential for continued superb performance as a cancer researcher. Also of critical importance is the strength of the institutional commitment to the candidate. Recruitment efforts are not likely to be successful unless there is a strong commitment from both CPRIT and the host institution.

It is not necessary that a candidate agree to accept the recruitment offer at the time an application is submitted. However, applicant institutions should have some reasonable expectation that recruitment will be successful if an award is granted by CPRIT.

Review criteria will focus on the overall impression of the candidate, his or her proposed research program, and his or her long-term contribution to and impact on the field of cancer research. Questions to be considered by the reviewers are as follows:

Quality of the Candidate: Has the candidate demonstrated academic excellence? Has the candidate received excellent predoctoral and postdoctoral training? Does the candidate show exceptional potential for achieving future impact on basic, translational, clinical, or population-based cancer research in the future? Has the candidate demonstrated a commitment to cancer research? Has the candidate demonstrated independence or the potential for independence?

Scientific Merit of Proposed Research: Is the research plan comprehensive and well thought out? Does the proposed research program demonstrate innovation, creativity, and feasibility? Will it have a significant impact on the field of cancer research? Will the proposed research generate preliminary data that can be used for the preparation of applications for future independent research project grants?

Relevance of Candidate's Research: Is the proposed research likely to have a significant impact on reducing the burden of cancer in the near term? Does the research contribute to basic, translational, clinical, or population-based cancer research?

Letters of Recommendation: Do the letters of recommendation detail the candidate's academic and clinical research accomplishments, potential for high-impact research, and ability to make a significant contribution to the field of cancer research?

Research Environment: Does the institution have the necessary facilities, expertise, and resources to support the candidate’s research? Is there evidence of strong institutional support? Will the candidate be free of major administrative/clinical responsibilities so that he or she can focus on growing his or her research? Has the institution identified a mentor who will design and execute a faculty career development plan for the candidate?

9. KEY DATES

RFA

RFA Release June 22, 2015

Application Receipt and Review Timeline

Application Receipt System opens, 7 AM CT	Application Receipt	Anticipated Application Review	Application Closing Date
June 22, 2015	Continuous	Monthly by the 15 th day of the month	June 20, 2016

10. AWARD ADMINISTRATION

Texas law requires that CPRIT grant awards be made by contract between the applicant and CPRIT. CPRIT grant awards are made to institutions or organizations, not to individuals. Awards made under this RFA are not transferable to another institution. Award contract negotiation and execution will commence once the CPRIT Oversight Committee has approved an application for a grant award. CPRIT may require, as a condition of receiving a grant award, that the grant recipient use CPRIT’s electronic Grant Management System to exchange, execute, and verify legally binding grant contract documents and grant award reports. Such use shall be in accordance with CPRIT’s electronic signature policy as set forth in Chapter 701, Section 701.25.

Texas law specifies several components that must be addressed by the award contract, including needed compliance and assurance documentation, budgetary review, progress and fiscal monitoring, and terms relating to revenue sharing and intellectual property rights. These contract provisions are specified in CPRIT’s Administrative Rules, which are available at www.cprit.state.tx.us.

Applicants are advised to review CPRIT's Administrative Rules related to contractual requirements associated with CPRIT grant awards and limitations related to the use of CPRIT grant awards as set forth in Chapter 703, Sections 703.10, 703.12.

Prior to disbursement of grant award funds, the grant recipient organization must demonstrate that it has adopted and enforces a tobacco-free workplace policy consistent with the requirements set forth in CPRIT's Administrative Rules, Chapter 703, Section 703.20.

CPRIT requires award recipients to submit an annual progress report. These reports summarize the progress made toward the research goals and address plans for the upcoming year. In addition, fiscal reporting, human studies reporting, and vertebrate animal use reporting will be required as appropriate. Continuation of funding is contingent upon the timely receipt of these reports. Failure to provide timely and complete reports may waive reimbursement of grant award costs and may result in the termination of the award contract. Forms and instructions will be made available at www.cprit.state.tx.us.

11. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS

Texas law requires that prior to disbursement of CPRIT grant funds, the award recipient must demonstrate that it has an amount of funds equal to one-half of the CPRIT funding dedicated to the research that is the subject of the award. The demonstration of available matching funds must be made at the time the award contract is executed and annually thereafter, not when the application is submitted. Grant applicants are advised to consult CPRIT's Administrative Rules, Chapter 703, Section 703.11 for specific requirements regarding the demonstration of available funding.

12. CONTACT INFORMATION

12.1. HelpDesk

HelpDesk support is available for questions regarding user registration and online submission of applications. Queries submitted via e-mail will be answered within 1 business day. HelpDesk staff members are not in a position to answer questions regarding scientific aspects of applications.

Dates of operation: June 22, 2015 onward (excluding public holidays)

Hours of operation: Monday, Tuesday, Thursday, Friday, 7 a.m. to 4 p.m. central time
Wednesday, 8 a.m. to 4 p.m. central time

Tel: 866-941-7146

E-mail: Help@CPRITGrants.org

12.2. Scientific and Programmatic Questions

Questions regarding the CPRIT Program, including questions regarding this or other funding opportunities, should be directed to the CPRIT Senior Program Manager for Research.

Tel: 512-305-8491

E-mail: Help@CPRITGrants.org

Website: www.cprit.state.tx.us

Third Party Observer Reports

CPRIT Recruitment Scientific Review Council Meeting Observation Report

Report #2015-11-12-RES

Program Name: Academic Research

Panel Name: FY16.4 Recruitment Review Panel

Panel Date: November 12, 2015

Report Date: November 20, 2015

Background

As part of CPRIT's on-going emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the application and focused on the established evaluation criteria, CPRIT is implementing the use of a third-party observer at every in-person and telephone conference peer review meeting. CPRIT has authorized an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Recruitment Review Panel peer review of applications for FY16 funding. The meeting was chaired by Richard Kolodner and held via teleconference on November 12, 2015.

Panel Observation Objectives and Scope

The third-party observation was limited to observing whether the following objectives were met:

- CPRIT's established procedures for panelists who have declared a conflict of interest are followed during the meeting (e.g., reviewers leave room or do not participate in the telephone conference if they have a conflict);
- CPRIT program staff participation is limited to offering general points of information when asked by peer review panel members;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications;
- The peer review panel discussion is focused on the established scoring criteria.

Observation Results Summary

The independent observer participated in the Recruitment Review Panel meeting held via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on November 12, 2015

The independent observer noted the following during our observation:

- Four applications were discussed within the Recruitment Scientific Review Council Meeting to determine which grants would receive CPRIT funding.
- Five peer review panelists, two CPRIT staff members and two SRA employees were present for the meeting.
- One conflict of interest was identified prior to or during the meeting. Applications for one conflict was discussed during the peer review panel. The reviewer with the conflict of interest either left the room or did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

- An evaluation of the appropriateness or rigor of the review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer was not engaged to and did not conduct an examination or review, the objective of which would be the expression of an opinion or limited assurance on the accuracy of voting and scoring. Accordingly, we will not express such an opinion or limited assurance. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT and its management and its Oversight Committee members and is not intended to be and should not be used by anyone other than these specified parties.



Grant Thornton

An instinct for growth™

CPRIT Recruitment Scientific Review Council Meeting Observation Report

Report #2016-01-14-RES

Program Name: Academic Research

Panel Name: FY16.5 and FY16.6 Recruitment Review Panel

Panel Date: January 14, 2016

Report Date: January 25, 2016

Background

As part of CPRIT's on-going emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the application and focused on the established evaluation criteria, CPRIT is implementing the use of a third-party observer at every in-person and telephone conference peer review meeting. CPRIT has authorized an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Recruitment Review Panel peer review of applications for FY16 funding. The meeting was chaired by Richard Kolodner and held via teleconference on January 14, 2016.

Panel Observation Objectives and Scope

The third-party observation was limited to observing whether the following objectives were met:

- CPRIT's established procedures for panelists who have declared a conflict of interest are followed during the meeting (e.g., reviewers leave room or do not participate in the telephone conference if they have a conflict);
- CPRIT program staff participation is limited to offering general points of information when asked by peer review panel members;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications;
- The peer review panel discussion is focused on the established scoring criteria.

Observation Results Summary

The independent observer participated in the Recruitment Review Panel meeting held via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on January 14, 2016.

The independent observer noted the following during our observation:

- Eight applications were discussed within the Recruitment Scientific Review Council Meeting to determine which grants would receive CPRIT funding.
- Seven peer review panelists, two CPRIT staff members and three SRA employees were present for the meeting.
- Two conflicts of interest were identified prior to or during the meeting. Applications for two conflicts were discussed during the peer review panel. The reviewers with the conflict of interest did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

- An evaluation of the appropriateness or rigor of the review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer was not engaged to and did not conduct an examination or review, the objective of which would be the expression of an opinion or limited assurance on the accuracy of voting and scoring. Accordingly, we will not express such an opinion or limited assurance. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT and its management and its Oversight Committee members and is not intended to be and should not be used by anyone other than these specified parties.

Noted Conflicts of Interest

Conflicts of Interest for Academic Research Recruitment Cycles

16.4, 16.5, 16.6, Applications

Academic Research Recruitment Cycle 16.4, 16.5, 16.6, Applications

Awards Announced at February 17, 2016, Oversight Committee Meeting

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in 16.4, 16.5, 16.6, *Recruitment of Rising Stars*, *Recruitment of Established Investigators*, and *Recruitment of First-Time, Tenure-Track Faculty Members*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant	Institution	Conflict Noted
Applications considered by the PIC and Oversight Committee			
RR160029	Dmitrovsky, Ethan	The University of Texas M.D. Anderson Cancer Center	Jones, Peter
RR160031	Dmitrovsky, Ethan	The University of Texas M.D. Anderson Cancer Center	O'Reilly, Richard
Applications Not Recommended for PIC or Oversight Committee Consideration			
RR160039	Fitz, John	The University of Texas Southwestern Medical Center	Gambhir, Sanjiv Sam

* = Not discussed

De-Identified Overall Evaluation Scores

Recruitment of First-Time, Tenure-Track Faculty Members

Academic Research Recruitment Cycles 16.4, 16.5, 16.6

Application ID	Final Overall Evaluation Score
RR160034*	1.0
RR160028*	1.0
RR160032*	1.8
c	3.6
d	4.0

*=Recommended for funding

Final Overall Evaluation Scores and Rank Order Scores

Ludwig Institute for
Cancer Research Ltd

January 25, 2016

Richard D. Kolodner
Ph.D.

Director, San Diego Branch

Head, Laboratory of
Cancer Genetics
San Diego Branch

Distinguished Professor of
Cellular & Molecular
Medicine, University of
California San Diego School
of Medicine

rkolodner@ucsd.edu

San Diego Branch
UC San Diego School of
Medicine
CMM-East / Rm 3058
9500 Gilman Dr - MC 0669
La Jolla, CA 92093-0669

T 858 534 7804
F 858 534 7750

Mr. Pete Geren
Presiding Officer, CPRIT Oversight Committee
Cancer Prevention and Research Institute of Texas
Via email to pgcprit@sidrichardson.org

Mr. Wayne R. Roberts
Chief Executive Officer
Cancer Prevention and Research Institute of Texas
Via email to wroberts@cprit.state.tx.us

Dear Mr. Geren and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit its list of recruitment grant recommendations. The SRC met on Thursday, November 12, 2015 and Thursday, January 14, 2016 to consider the applications submitted to CPRIT under the **Recruitment of Established Investigator, Recruitment of Rising Stars, and Recruitment for First-Time, Tenure Track Faculty Members** Request for Applications for Recruitment Cycles REC 16.4 and 16.5-6 respectively. The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation score are stated for each grant application. There were no changes to funding amounts, goals, timelines, or project objectives requested by other applicants. The total amount for the applications recommended for all cycles is \$34,000,000.

These recommendations meet the SRC's standards for grant award funding. These standards include selecting candidates at all career levels that have demonstrated academic excellence, innovation, excellent training, a commitment to cancer research, and exceptional potential for achieving future impact in basic, translational, population-based, or clinical research.

Sincerely yours,



Richard D. Kolodner, Ph.D.
Chair, CPRIT Scientific Review Council

Attachment

REC 16.4

Rank	App ID	Candidate	Mechanism	Organization	Budget Request	Overall Score
1	RR160028	Alexandre Orthwein	Recruitment of First-Time, Tenure-Track Faculty Members	The University of Texas M. D. Anderson Cancer Center	\$2,000,000	1.0
2	RR160029	Xiaodong Cheng	Recruitment of Established Investigators	The University of Texas M. D. Anderson Cancer Center	\$6,000,000	1.0
3	RR160023	Daniel Leahy	Recruitment of Established Investigators	The University of Texas at Austin	\$6,000,000	2.0
4	RR160027	Bing Zhang	Recruitment of Rising Stars	Baylor College of Medicine	\$4,000,000	2.0

REC 16.5-6

Rank	App ID	Candidate	Mechanism	Organization/Company	Budget	Overall Score
1	RR160034	Luke Andrew Gilbert	Recruitment of First-Time, Tenure-Track Faculty Members	The University of Texas Southwestern Medical Center	\$2,000,000	1.0
2	RR160030	Herbert Lyerly	Recruitment of Established Investigators	The University of Texas at Austin	\$6,000,000	1.2
3	RR160031	Filippo G. Giancotti	Recruitment of Established Investigators	The University of Texas M. D. Anderson Cancer Center	\$6,000,000	1.8
4	RR160032	Traver Hart	Recruitment of First-Time, Tenure-Track Faculty Members	The University of Texas M. D. Anderson Cancer Center	\$2,000,000	1.8



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2016—Cycles 16.4, 16.5, 16.6
Recruitment of Rising Stars

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA R-16-RRS-1

Recruitment of Rising Stars

**Please also refer to the Instructions for Applicants document,
which will be posted on June 22, 2015**

Application Receipt Dates:

June 22, 2015-June 20, 2016

FY 2016

Fiscal Year Award Period

September 1, 2015-August 31, 2016

TABLE OF CONTENTS

1. ABOUT CPRIT	4
1.1. RESEARCH PROGRAM PRIORITIES	4
2. RATIONALE	5
3. RECRUITMENT OBJECTIVES.....	5
4. FUNDING INFORMATION	6
5. ELIGIBILITY	7
6. RESUBMISSION POLICY	9
7. RESPONDING TO THIS RFA	9
7.1. APPLICATION SUBMISSION GUIDELINES	9
7.2. APPLICATION COMPONENTS	10
7.2.1. <i>Summary of Nomination (2,000 characters)</i>	10
7.2.2. <i>Institutional Commitment (2 pages)</i>	10
7.2.3. <i>Letter of Support from Department Chair (1 page)</i>	11
7.2.4. <i>Curriculum Vitae (CV)</i>	11
7.2.5. <i>Summary of Goals and Objectives</i>	11
7.2.6. <i>Research (4 pages)</i>	11
7.2.7. <i>Publications</i>	12
7.2.8. <i>Timeline (1 page)</i>	12
7.2.9. <i>Current and Pending Support</i>	12
7.2.10. <i>Research Environment (1 page)</i>	12
7.2.11. <i>Descriptive Biography (Up to 2 pages)</i>	12
8. APPLICATION REVIEW	13
8.1. REVIEW PROCESS.....	13
8.1.1. <i>Confidentiality of Review</i>	13
8.2. REVIEW CRITERIA	14
9. KEY DATES.....	15
10. AWARD ADMINISTRATION.....	16
11. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS.....	17
12. CONTACT INFORMATION.....	17
12.1. HELPDESK	17
12.2. SCIENTIFIC AND PROGRAMMATIC QUESTIONS	17

RFA VERSION HISTORY

Rev 6/22/15 RFA release

Rev 9/11/15 Revised Section 5 – Eligibility

- Revised language to indicate that a candidate who has already accepted a position at the recruiting institution prior to the time that the Scientific Review Council recommends the candidate for a recruitment award is not eligible for a recruitment award. Also clarification was added indicating that “if a position is offered to the candidate during the period following the Scientific Review Council’s recommendation but prior to the Oversight Committee’s final approval, the institution does so at its own risk. There is no guarantee that the recruitment award will be approved by the Oversight Committee.”

1. ABOUT CPRIT

The state of Texas has established the Cancer Prevention and Research Institute of Texas (CPRIT), which may issue up to \$3 billion in general obligation bonds to fund grants for cancer research and prevention.

CPRIT is charged by the Texas Legislature to do the following:

- Create and expedite innovation in the area of cancer research and in enhancing the potential for a medical or scientific breakthrough in the prevention of or cures for cancer;
- Attract, create, or expand research capabilities of public or private institutions of higher education and other public or private entities that will promote a substantial increase in cancer research and in the creation of high-quality new jobs in the state of Texas; and
- Develop and implement the Texas Cancer Plan.

1.1. Research Program Priorities

The Texas Legislature has charged the CPRIT Oversight Committee with establishing program priorities on an annual basis. These priorities are intended to provide transparency in how the Oversight Committee directs the orientation of the agency's funding portfolio. The principles and priorities of the Scientific Research program will guide CPRIT staff, peer reviewers, and the Scientific Review Council on the development and issuance of program-specific Requests for Applications (RFAs) and the evaluation of applications submitted in response to those RFAs. The program priorities for research adopted by the Oversight Committee include funding projects that address:

- A broad range of innovative, investigator-initiated research projects;
- Prevention and early detection;
- Rare and intractable cancers, including childhood cancers;
- Cancers of importance in Texas;
- Computational biology and analytic methods; and
- Infrastructure Development

2. RATIONALE

The aim of this award mechanism is to bolster cancer research in Texas by providing financial support to attract individuals whose work has outstanding merit, who show a marked capacity for self-direction, and who demonstrate the promise for continued and enhanced contributions to the field of cancer research (“Rising Stars”). Awards are intended to provide institutions with a competitive edge in recruiting the world’s best talent in cancer research, thereby advancing cancer research efforts and promoting economic development in the state of Texas. The recruitment of outstanding scientists will greatly enhance programs of scientific excellence in cancer research and will position Texas as a leader in the fight against cancer. Applications may address any research topic related to cancer biology, causation, prevention, detection or screening, or treatment. However, special consideration will be given to candidates with research programs addressing CPRIT’s priority areas for research. These include Prevention and Early Detection; Computational Biology and Analytic Methods; Intractable Cancers (brain, lung, liver, pancreas) and Rare Cancers (<15,000 new cases per year), including Childhood, Adolescent and Young Adult Cancers; Population Disparities and Cancers of Particular Importance in Texas (e.g., liver, cervical and lung).

3. RECRUITMENT OBJECTIVES

The goal of this award mechanism is to recruit exceptional faculty to universities and/or cancer research institutions in the state of Texas. Having already demonstrated extraordinary accomplishments during their initial years of independent research, Rising Stars represent a unique blend of scholastic aptitude, scientific rigor, and commitment to exploring transformational research through the development of creative ideas with high potential.

Candidates who have not historically worked in cancer research but are proposing creative hypotheses and research plans for this field are encouraged to apply. Similarly, candidates pursuing original and potentially high-impact basic science programs that have the potential to be translated toward clinical investigations or provide “proof of principle” are also encouraged to apply. It is expected that the candidate will contribute significantly to and have a major impact on the institution’s overall cancer research initiative. Funding will be given for exceptional candidates who will continue to develop new research methods and techniques in the life,

population-based, physical, engineering, or computational sciences and apply them to solving outstanding problems in cancer research that have been inadequately addressed or for which there may be an absence of an established paradigm or technical framework.

Ideal candidates will have specific expertise in cancer-related areas needed to address an institutional priority. Candidates are expected to be approximately at the career level of a late assistant/early associate professor or equivalent. This funding mechanism considers expertise, accomplishments, and breadth of experience vital metrics for guiding CPRIT's investment in that person's originality, insight, and potential for continued contribution. Relevance to cancer research and to CPRIT's priority areas are important evaluation criteria for CPRIT funding.

Unless prohibited by policy, the institution is also expected to bestow on the newly recruited faculty member the prestigious title of "CPRIT Scholar in Cancer Research," and the faculty member should be strongly encouraged to use this title on letterhead, business cards, and other appropriate documents. The title is to be retained as long as the individual remains in Texas.

4. FUNDING INFORMATION

This is a 5-year award and is not renewable. Grant funds of up to \$4,000,000 (total costs) over a 5-year period may be requested. Exceptions to this limit will be entertained only if there is compelling written justification. Annual allocations of this award are at the discretion of the awardee, as long as the total award does not exceed \$4,000,000. The award request may include indirect costs of up to 5% of the total award amount (5.263% of the direct costs). CPRIT will make every effort to be flexible in the timing for disbursement of funds; recipients will be asked at the beginning of each year for an estimate of their needs for the year. Funds may not be carried over beyond 5 years. In addition, funds for extraordinary equipment needs may be awarded in the first year of the grant if very well justified.

Grant funds may be used for salary support of this candidate but may not be used to construct or renovate laboratory space. Consistent with the statutory mandate that the recipient institution demonstrate that it has funds equivalent to one-half of the total grant award amount dedicated to the individual recruited, a total institutional commitment of 50% of the total award will be required. The institutional commitment can be made on a year-by-year basis and may be fulfilled by demonstrating funds dedicated to salary support and endowment for the

individual recruited as well as expenses for research support, laboratory renovation, and/or relocation to Texas. Grant funding from other sources that the recruited individual may bring with him or her to the institution may also be counted toward the amount necessary for the institutional commitment. No annual limit on the number of potential award recipients has been set.

Note: Depending on the availability of funds, nominations submitted in response to this RFA during the current receipt period may be announced and awarded either in the current fiscal year (prior to August 31) or in the first quarter of the next fiscal year (starting September 1).

5. ELIGIBILITY

- The applicant must be a Texas-based entity. Any not-for-profit institution that conducts research is eligible to apply for funding under this award mechanism. A public or private company is not eligible for funding under this award mechanism.
- Candidates must be nominated by the president, provost, vice president for research, or appropriate dean of a Texas-based public or private institution of higher education, including academic health institutions. The application must be submitted on behalf of a specific candidate.
- A candidate may be nominated by only 1 institution. If more than 1 institution is interested in a given candidate, negotiations as to which institution will nominate him or her must be concluded before the nomination is made. There is no limit to the number of applications that an institution may submit during a review cycle.
- A candidate who has already accepted a position at the recruiting institution prior to the time that the Scientific Review Council recommends the candidate for a recruitment award is not eligible for a recruitment award, as an investment by CPRIT is obviously not necessary. No award is final until approved by the Oversight Committee at a public meeting. However, in recognition of the timeline involved with recruiting highly sought-after candidates who are often considering multiple offers, CPRIT's academic research program staff will notify the nominating institution of the Scientific Review Council's recommendation following the Review Council meeting. If a position is offered to the candidate during the period following the Scientific Review Council's recommendation

but prior to the Oversight Committee's final approval, the institution does so at its own risk. There is no guarantee that the recruitment award will be approved by the Oversight Committee.

- The candidate must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, and reside in Texas for the duration of the appointment. The candidate must devote at least 70% time to research activities. Candidates whose major responsibilities are clinical care, teaching, or administration are not eligible.
- At the time of the application, the candidate should hold an appointment at the rank of assistant or associate professor tenure-track or tenured (or equivalent) at an accredited academic institution, research institution, industry, government agency, or private foundation not primarily based in Texas. The candidate must not reside in Texas at the time the application is submitted.
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the nominator, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization (or any person related to 1 or more of these individuals within the second degree of consanguinity or affinity), has not made and will not make a contribution to CPRIT or to any foundation specifically created to benefit CPRIT. Prior to final approval of an award, the candidate must provide the same certification.
- An applicant is not eligible to receive a CPRIT grant award if the applicant nominator, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization is related to a CPRIT Oversight Committee member. Prior to final approval of an award, the candidate must provide the same certification.
- The applicant must report whether the applicant institution or organization, the nominator, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not the individuals will receive salary or compensation under the grant award, are currently ineligible to receive federal grant funds or have had a grant terminated for cause within 5 years prior to the submission date of the grant application. Prior to final approval of an award, the candidate must provide the same certification.

CPRIT grants will be awarded by contract to successful applicants. Certain contractual requirements are mandated by Texas law or by administrative rules. Although applicants need not demonstrate the ability to comply with these contractual requirements at the time the application is submitted, applicants should make themselves aware of these standards before submitting a grant application. Significant issues addressed by the CPRIT contract are listed in [Section 10](#) and [Section 11](#). All statutory provisions and relevant administrative rules can be found at www.cprit.state.tx.us.

6. RESUBMISSION POLICY

Resubmissions will not be accepted for the Recruitment of Rising Stars award mechanism. Any nomination for the Recruitment of Rising Stars that was previously submitted to CPRIT and reviewed but was not recommended for funding may not be resubmitted. If a nomination was administratively rejected prior to review, it can be resubmitted in the following cycles.

7. RESPONDING TO THIS RFA

7.1. Application Submission Guidelines

Applications must be submitted via the CPRIT Application Receipt System (CARS) (<https://CPRITGrants.org>). **Only applications submitted through this portal will be considered eligible for evaluation.** The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application is submitted. Candidates must be nominated by the institution's president, provost, vice president for research, or appropriate dean. The individual submitting the application (nominator) must create a user account in the system to start and submit an application. Furthermore, the Authorized Signing Official (ASO), who is the person authorized to sign and submit the application for the organization, and the Grants Contract/Office of Sponsored Projects Official, who is the individual who will manage the grant contract if an award is made, also must create a user account in CARS.

Applications will be accepted on a continuous basis throughout the remainder of FY16. In order to manage the timely review of nominations, it is anticipated that applications submitted by 11:59 p.m. on the 20th day of each month will be reviewed by the 15th day of the following month. For an application to be considered for review during the monthly cycle, that application

must be submitted on or before 11:59 p.m. CPRIT will not extend the submission deadline. During periods when CPRIT does not receive an adequate number of applications, the review may be extended into the following month. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

7.2. Application Components

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. Please refer to the *Instructions for Applicants* document for details that will be available when the application receipt system opens.

Submissions that are missing 1 or more components or do not meet the eligibility requirements listed in [Section 5](#) will be administratively withdrawn without review.

7.2.1. Summary of Nomination (2,000 characters)

Provide a brief summary of the nomination. Include the candidate's name, organization from which the candidate is being recruited, and also the department and/or entity within the nominator's organization where the candidate will hold the faculty position.

7.2.2. Institutional Commitment (2 pages)

Describe the institutional commitment to the candidate, including total salary, institutional support of salary, endowment or other support, space, and all other agreements between the institution and the candidate. **The institutional commitment must state the total award amount requested.** Provide a brief job description for the candidate should recruitment be successful. This information should be supplied in the form of a letter signed by the applicant institution's president, provost, or appropriate dean.

The letter of institutional commitment must demonstrate the organization's commitment to bringing the candidate to Texas. The following guidelines should be used when outlining the institutional match in the letter. This information may be provided as part of paragraph text or as a tabular summary that states the approximate amounts assigned to each item.

Start-up Package: Complete details including salary and fringe benefits, dedicated personnel, amounts for equipment and supplies, and/or infrastructure that will be offered to the candidate as part of the recruitment award.

Endowment Equivalents: The principal of an endowment may not be included as part of the institutional match, but endowment income over the lifetime of the award may be included.

Rent: Amount for recovery of occupying facility space (ie, “rent”) is not a permitted institutional commitment item.

7.2.3. Letter of Support from Department Chair (1 page)

Provide the letter of support from and signed by the chair of the department that the candidate is being recruited to. The following information should be included in the letter:

Recruitment Activities: The letter should provide a description of the recruitment activities, strategies, and priorities that have led to the nomination of this candidate.

Caliber of Candidate: The letter should include a description of the caliber of the candidate and justification of the nomination of the candidate by the institution.

Description of Candidate Duties and Certification of 70% Time Commitment to Research.

While scholars may engage in direct patient care activities and/or have some administrative or teaching duties, at least 70% of the candidate’s time must be available for research. Breach of this requirement will constitute grounds for discontinuation of funding. The certification that 70% time will be spent on research must be included.

7.2.4. Curriculum Vitae (CV)

Provide a complete CV, and list of publications for the candidate.

7.2.5. Summary of Goals and Objectives

List very broad goals and objectives to be achieved during this award. **This section must be completed by the candidate.**

7.2.6. Research (4 pages)

Summarize the key elements of the candidate’s research accomplishments and provide an overview of the proposed research by outlining the background and rationale, hypotheses and aims, strategies, goals, and projected impact of the focus of the research program. Highlight the innovative aspects of this effort, and place it into context with regard to what pressing problem in cancer will be addressed. **This section of the application must be prepared by the candidate.**

References cited in this section must be included within the stated page limit. Any appropriate citation format is acceptable; official journal abbreviations should be used.

Candidates for CPRIT Scholar Awards must include the following signed statement at the end of this section. **Applications that do not contain this signed statement will be returned without review.** “I understand that I do not need to have made a commitment to *<nominating institution>* before this application has been submitted. However, I also understand that only 1 Texas institution may nominate me for a CPRIT Recruitment Award, and this is the nomination that I have endorsed. Requests to change the recruiting institution during the recruitment process are inappropriate.”

7.2.7. Publications

Provide the 5 most significant publications that have resulted from the candidate’s research efforts. Publications should be uploaded as PDFs of full-text articles. Only articles that have been published or that have been accepted for publication (“in press”) should be submitted.

7.2.8. Timeline (1 page)

Provide a general outline of anticipated major award outcomes to be tracked. Timelines will be reviewed during the evaluation of annual progress reports. If the application is approved for funding, this section will be included in the award contract. Applicants are advised not to include information that they consider confidential or proprietary when preparing this section.

7.2.9. Current and Pending Support

State the funding source, duration, and title of all current and pending research support held by the candidate. If the candidate has no current or pending funding, a document stating this must be submitted.

7.2.10. Research Environment (1 page)

Briefly describe the research environment available to support the candidate’s research program, including core facilities and training programs, and collaborative opportunities.

7.2.11. Descriptive Biography (Up to 2 pages)

Provide a brief descriptive biography of the candidate, including his or her accomplishments, education and training, professional experience, awards and honors, publications relevant to

cancer research, and a brief overview of the candidate's goals if selected to receive the award.

This section of the application must be prepared by the candidate. If the application is approved for funding, this section will be made publicly available on CPRIT's website.

Candidates are advised not to include information that they consider confidential or proprietary when preparing this section.

Applications that are missing 1 or more of these components, exceed the specified page, word, or budget limits, or do not meet the eligibility requirements listed above will be administratively withdrawn without review.

8. APPLICATION REVIEW

8.1. Review Process

All eligible applications will be evaluated and scored by the CPRIT Scientific Review Council using the criteria listed in this RFA. Applications may be submitted continuously in response to this RFA but will generally be reviewed on a monthly basis by the CPRIT Scientific Review Council. Council members may seek additional ad hoc evaluations of candidates. Scientific Review Council members will discuss applications and provide an individual Overall Evaluation Score that conveys the members' recommendation related to the proposed recruitment.

Applications approved by Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review, prioritization, and recommendation to the CPRIT Oversight Committee for approval and funding. Approval is based on an application receiving a positive vote from at least two-thirds of the members of the Oversight Committee. The review process is described more fully in CPRIT's Administrative Rules, Chapter 703, Sections 703.6–703.8.

The decision of the Scientific Review Council not to recommend an application is final, and such applications may not be resubmitted for a recruitment award. Notification of review decisions are sent to the nominator.

8.1.1. Confidentiality of Review

Each stage of application review is conducted confidentially, and all CPRIT Scientific Review Council members, Program Integration Committee members, CPRIT employees, and Oversight Committee members with access to grant application information are required to sign

nondisclosure statements regarding the contents of the applications. All technological and scientific information included in the application is protected from public disclosure pursuant to Health and Safety Code §102.262(b).

Individuals directly involved with the review process operate under strict conflict-of-interest prohibitions. All CPRIT Scientific Review Council members are non-Texas residents.

By submitting a grant application, the applicant agrees and understands that the only basis for reconsideration of a grant application is limited to an undisclosed conflict of interest as set forth in CPRIT’s Administrative Rules, Chapter 703, Section 703.9.

Communication regarding the substance of a pending application is prohibited between the grant applicant (or someone on the grant applicant’s behalf) and the following individuals—an Oversight Committee member, a Program Integration Committee member, or a Scientific Review Council member. Applicants should note that the CPRIT Program Integration Committee comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention Officer, the Chief Product Development Officer, and the Commissioner of State Health Services. The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. Intentional, serious, or frequent violations of this rule may result in the disqualification of the grant applicant from further consideration for a grant award.

8.2. Review Criteria

Applications will be assessed based on evaluation of the quality of the candidate and his or her potential for continued superb performance as a cancer researcher. Also of critical importance is the strength of the institutional commitment to the candidate. Recruitment efforts are not likely to be successful unless there is a strong commitment from CPRIT and the host institution. It is not necessary that a candidate agree to accept the recruitment offer at the time an application is submitted. However, applicant institutions should have some reasonable expectation that recruitment will be successful if an award is granted by CPRIT.

Review criteria will focus on the overall impression of the candidate, his/her proposed research program, and his/her long-term contribution to and impact on the field of cancer research.

Questions to be considered by the reviewers are as follows:

Quality of the Candidate: Has the candidate demonstrated extraordinary accomplishments during his or her initial years of independent research? Does the candidate show promise of making important contributions with significant impact to basic, translational, clinical, or population-based cancer research in the future? Has the candidate demonstrated strong self-direction, motivation, and commitment for transformative cancer research?

Scientific Merit of Proposed Research: Is the research plan comprehensive and well thought out? Does the proposed research program demonstrate innovation, creativity, and feasibility? Will it have a significant impact on the field of cancer research? Will it expand the boundaries of cancer research beyond traditional methodology by incorporating novel and interdisciplinary techniques?

Relevance of Candidate's Research: Is the proposed research likely to have a significant impact on reducing the burden of cancer in the near term? Does the research contribute to basic, translational, clinical, or population-based cancer research?

Research Environment: Does the institution have the necessary facilities, expertise, and resources to support the candidate's research? Is there evidence of strong institutional support? Will the candidate be free of major administrative/clinical responsibilities so that he or she can focus on maintaining and enhancing his or her research program? Will the candidate be provided with adequate professional development opportunities to grow as a leader?

9. KEY DATES

RFA

RFA Release

June 22, 2015

Application Receipt and Review Timeline

Application Receipt System opens, 7 AM CT	Application Receipt	Anticipated Application Review	Application Closing Date
June 22, 2015	Continuous	Monthly by the 15 th day of the month	June 20, 2016

10. AWARD ADMINISTRATION

Texas law requires that CPRIT grant awards be made by contract between the applicant and CPRIT. CPRIT grant awards are made to institutions or organizations, not to individuals. Awards made under this RFA are not transferable to another institution. Award contract negotiation and execution will commence once the CPRIT Oversight Committee has approved an application for a grant award. CPRIT may require, as a condition of receiving a grant award, that the grant recipient use CPRIT's electronic Grant Management System to exchange, execute, and verify legally binding grant contract documents and grant award reports. Such use shall be in accordance with CPRIT's electronic signature policy as set forth in Chapter 701, Section 701.25.

Texas law specifies several components that must be addressed by the award contract, including needed compliance and assurance documentation, budgetary review, progress and fiscal monitoring, and terms relating to revenue sharing and intellectual property rights. These contract provisions are specified in CPRIT's Administrative Rules, which are available at www.cprit.state.tx.us. Applicants are advised to review CPRIT's Administrative Rules related to contractual requirements associated with CPRIT grant awards and limitations related to the use of CPRIT grant awards as set forth in Chapter 703, Sections 703.10, 703.12.

Prior to disbursement of grant award funds, the grant recipient organization must demonstrate that it has adopted and enforces a tobacco-free workplace policy consistent with the requirements set forth in CPRIT's Administrative Rules, Chapter 703, Section 703.20.

CPRIT requires award recipients to submit an annual progress report. These reports summarize the progress made toward the research goals and address plans for the upcoming year. In addition, fiscal reporting, human studies reporting, and vertebrate animal use reporting will be required as appropriate. **Continuation of funding is contingent upon the timely receipt of these reports.** Failure to provide timely and complete reports may waive reimbursement of grant

award costs and may result in the termination of the award contract. Forms and instructions will be made available at www.cpritis.state.tx.us.

11. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS

Texas law requires that prior to disbursement of CPRIT grant funds, the award recipient must demonstrate that it has an amount of funds equal to one-half of the CPRIT funding dedicated to the research that is the subject of the award. The demonstration of available matching funds must be made at the time the award contract is executed and annually thereafter, not when the application is submitted. Grant applicants are advised to consult CPRIT's Administrative Rules, Chapter 703, Section 703.11 for specific requirements regarding the demonstration of available funding.

12. CONTACT INFORMATION

12.1. HelpDesk

HelpDesk support is available for questions regarding user registration and online submission of applications. Queries submitted via e-mail will be answered within 1 business day. HelpDesk staff members are not in a position to answer questions regarding scientific aspects of applications.

Dates of operation: June 22, 2015 onward (excluding public holidays)

Hours of operation: Monday, Tuesday, Thursday, Friday, 7 AM to 4 PM central time
Wednesday, 8 AM to 4 PM central time

Tel: 866-941-7146

E-mail: Help@CPRITGrants.org

12.2. Scientific and Programmatic Questions

Questions regarding the CPRIT Program, including questions regarding this or other funding opportunities, should be directed to the CPRIT Senior Program Manager for Research.

Tel: 512-305-8491
E-mail: Help@CPRITGrants.org
Website: www.cprit.state.tx.us

Third Party Observer Reports

CPRIT Recruitment Scientific Review Council Meeting Observation Report

Report #2015-11-12-RES

Program Name: Academic Research

Panel Name: FY16.4 Recruitment Review Panel

Panel Date: November 12, 2015

Report Date: November 20, 2015

Background

As part of CPRIT's on-going emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the application and focused on the established evaluation criteria, CPRIT is implementing the use of a third-party observer at every in-person and telephone conference peer review meeting. CPRIT has authorized an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Recruitment Review Panel peer review of applications for FY16 funding. The meeting was chaired by Richard Kolodner and held via teleconference on November 12, 2015.

Panel Observation Objectives and Scope

The third-party observation was limited to observing whether the following objectives were met:

- CPRIT's established procedures for panelists who have declared a conflict of interest are followed during the meeting (e.g., reviewers leave room or do not participate in the telephone conference if they have a conflict);
- CPRIT program staff participation is limited to offering general points of information when asked by peer review panel members;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications;
- The peer review panel discussion is focused on the established scoring criteria.

Observation Results Summary

The independent observer participated in the Recruitment Review Panel meeting held via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on November 12, 2015

The independent observer noted the following during our observation:

- Four applications were discussed within the Recruitment Scientific Review Council Meeting to determine which grants would receive CPRIT funding.
- Five peer review panelists, two CPRIT staff members and two SRA employees were present for the meeting.
- One conflict of interest was identified prior to or during the meeting. Applications for one conflict was discussed during the peer review panel. The reviewer with the conflict of interest either left the room or did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

- An evaluation of the appropriateness or rigor of the review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer was not engaged to and did not conduct an examination or review, the objective of which would be the expression of an opinion or limited assurance on the accuracy of voting and scoring. Accordingly, we will not express such an opinion or limited assurance. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT and its management and its Oversight Committee members and is not intended to be and should not be used by anyone other than these specified parties.

CPRIT Recruitment Scientific Review Council Meeting Observation Report

Report #2016-01-14-RES

Program Name: Academic Research

Panel Name: FY16.5 and FY16.6 Recruitment Review
Panel

Panel Date: January 14, 2016

Report Date: January 25, 2016

Background

As part of CPRIT's on-going emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the application and focused on the established evaluation criteria, CPRIT is implementing the use of a third-party observer at every in-person and telephone conference peer review meeting. CPRIT has authorized an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Recruitment Review Panel peer review of applications for FY16 funding. The meeting was chaired by Richard Kolodner and held via teleconference on January 14, 2016.

Panel Observation Objectives and Scope

The third-party observation was limited to observing whether the following objectives were met:

- CPRIT's established procedures for panelists who have declared a conflict of interest are followed during the meeting (e.g., reviewers leave room or do not participate in the telephone conference if they have a conflict);
- CPRIT program staff participation is limited to offering general points of information when asked by peer review panel members;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications;
- The peer review panel discussion is focused on the established scoring criteria.

Observation Results Summary

The independent observer participated in the Recruitment Review Panel meeting held via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on January 14, 2016.

The independent observer noted the following during our observation:

- Eight applications were discussed within the Recruitment Scientific Review Council Meeting to determine which grants would receive CPRIT funding.
- Seven peer review panelists, two CPRIT staff members and three SRA employees were present for the meeting.
- Two conflicts of interest were identified prior to or during the meeting. Applications for two conflicts were discussed during the peer review panel. The reviewers with the conflict of interest did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

- An evaluation of the appropriateness or rigor of the review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer was not engaged to and did not conduct an examination or review, the objective of which would be the expression of an opinion or limited assurance on the accuracy of voting and scoring. Accordingly, we will not express such an opinion or limited assurance. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT and its management and its Oversight Committee members and is not intended to be and should not be used by anyone other than these specified parties.

Noted Conflicts of Interest

Conflicts of Interest for Academic Research Recruitment Cycles

16.4, 16.5, 16.6, Applications

Academic Research Recruitment Cycle 16.4, 16.5, 16.6, Applications

Awards Announced at February 17, 2016, Oversight Committee Meeting

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in 16.4, 16.5, 16.6, *Recruitment of Rising Stars*, *Recruitment of Established Investigators*, and *Recruitment of First-Time, Tenure-Track Faculty Members*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant	Institution	Conflict Noted
Applications considered by the PIC and Oversight Committee			
RR160029	Dmitrovsky, Ethan	The University of Texas M.D. Anderson Cancer Center	Jones, Peter
RR160031	Dmitrovsky, Ethan	The University of Texas M.D. Anderson Cancer Center	O'Reilly, Richard
Applications Not Recommended for PIC or Oversight Committee Consideration			
RR160039	Fitz, John	The University of Texas Southwestern Medical Center	Gambhir, Sanjiv Sam

* = Not discussed

De-Identified Overall Evaluation Scores

Recruitment of Rising Stars

Academic Research Recruitment Cycles 16.4, 16.5, 16.6

Application ID	Final Overall Evaluation Score
RR160027*	2.0
a	3.0

*=Recommended for funding

Final Overall Evaluation Scores and Rank Order Scores

**Ludwig Institute for
Cancer Research Ltd**

January 25, 2016

**Richard D. Kolodner
Ph.D.**

Director, San Diego Branch

Head, Laboratory of
Cancer Genetics
San Diego Branch

Distinguished Professor of
Cellular & Molecular
Medicine, University of
California San Diego School
of Medicine

rkolodner@ucsd.edu

San Diego Branch
UC San Diego School of
Medicine
CMM-East / Rm 3058
9500 Gilman Dr - MC 0669
La Jolla, CA 92093-0669

T 858 534 7804
F 858 534 7750

Mr. Pete Geren
Presiding Officer, CPRIT Oversight Committee
Cancer Prevention and Research Institute of Texas
Via email to pgcprit@sidrichardson.org

Mr. Wayne R. Roberts
Chief Executive Officer
Cancer Prevention and Research Institute of Texas
Via email to wroberts@cprit.state.tx.us

Dear Mr. Geren and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit its list of recruitment grant recommendations. The SRC met on Thursday, November 12, 2015 and Thursday, January 14, 2016 to consider the applications submitted to CPRIT under the **Recruitment of Established Investigator, Recruitment of Rising Stars, and Recruitment for First-Time, Tenure Track Faculty Members** Request for Applications for Recruitment Cycles REC 16.4 and 16.5-6 respectively. The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation score are stated for each grant application. There were no changes to funding amounts, goals, timelines, or project objectives requested by other applicants. The total amount for the applications recommended for all cycles is \$34,000,000.

These recommendations meet the SRC's standards for grant award funding. These standards include selecting candidates at all career levels that have demonstrated academic excellence, innovation, excellent training, a commitment to cancer research, and exceptional potential for achieving future impact in basic, translational, population-based, or clinical research.

Sincerely yours,



Richard D. Kolodner, Ph.D.
Chair, CPRIT Scientific Review Council

Attachment

REC 16.4

Rank	App ID	Candidate	Mechanism	Organization	Budget Request	Overall Score
1	RR160028	Alexandre Orthwein	Recruitment of First-Time, Tenure-Track Faculty Members	The University of Texas M. D. Anderson Cancer Center	\$2,000,000	1.0
2	RR160029	Xiaodong Cheng	Recruitment of Established Investigators	The University of Texas M. D. Anderson Cancer Center	\$6,000,000	1.0
3	RR160023	Daniel Leahy	Recruitment of Established Investigators	The University of Texas at Austin	\$6,000,000	2.0
4	RR160027	Bing Zhang	Recruitment of Rising Stars	Baylor College of Medicine	\$4,000,000	2.0

REC 16.5-6

Rank	App ID	Candidate	Mechanism	Organization/Company	Budget	Overall Score
1	RR160034	Luke Andrew Gilbert	Recruitment of First-Time, Tenure-Track Faculty Members	The University of Texas Southwestern Medical Center	\$2,000,000	1.0
2	RR160030	Herbert Lyerly	Recruitment of Established Investigators	The University of Texas at Austin	\$6,000,000	1.2
3	RR160031	Filippo G. Giancotti	Recruitment of Established Investigators	The University of Texas M. D. Anderson Cancer Center	\$6,000,000	1.8
4	RR160032	Traver Hart	Recruitment of First-Time, Tenure-Track Faculty Members	The University of Texas M. D. Anderson Cancer Center	\$2,000,000	1.8



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR160023
Recruitment of Established Investigators
Nomination of Dr. Daniel Leahy

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of Established Investigators* Request for Applications (RFA). CPRIT received five applications for this RFA. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle
- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that Dr. Margaret Kripke, Chief Scientific Officer, has a conflict of interest waiver on file for FY2016 applicable to conflict of interests specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).


I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules.
This statement is true."



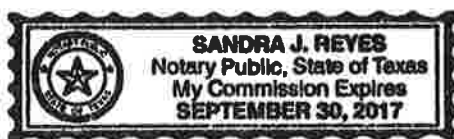
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 2nd day of February, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
CYCLE 4
PROGRAM Research
AWARD MECHANISM Recruitment of Established Investigators (REI)
APPLICATION ID RR160023
APPLICATION TITLE Receptor Tyrosine Kinase Mechanism and Cancer
NOMINATOR NAME Appling, Dean
CANDIDATE NAME Leahy, Daniel
ORGANIZATION The University of Texas at Austin
PANEL NAME Recruitment FY16 Cycle 4 (REC_16.4)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CSO	09/18/15	01/27/16
	RFA published in Texas Register	09/11/15	01/27/16
	CPRIT Application Receipt Cycle opened	09/21/15	12/10/15
	CPRIT Application Receipt Cycle closed	10/20/15	12/10/15
	Date application submitted	09/21/15	12/10/15
	Method of submission	CARS	12/10/15
	Within receipt period	YES	12/10/15
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	12/10/15
	Donation(s) made to CPRIT/foundation	NO	12/10/15
	Assigned to primary reviewers	11/02/15	12/10/15
	Applicant notified of review panel assignment	N/A	12/10/15
	Primary Reviewer 1 COI signed	10/26/15	12/10/15
	Primary Reviewer 2 COI signed	10/28/15	12/10/15
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	11/09/15	12/10/15
	Primary Reviewer 2 critique submitted	11/11/15	12/10/15
	COI indicated by non-primary reviewer	NONE	12/10/15
	COI recused from participation	N/A	12/10/15
	Discussed at Peer Review Meeting	YES	12/10/15
	Peer Review Meeting	11/12/15	12/10/15
	Post review statements signed	12/04/15	12/10/15
	Third Party Observer Report	11/20/15	12/10/15
	Score report delivered to CSO	12/02/15	12/10/15
	Recommended for SRC Review	YES	12/10/15
4. Final SRC Recommendation	COI indicated by SRC member	NONE	12/10/15
	COI recused from participation	N/A	12/10/15
	SRC Meeting	11/12/15	12/10/15
	Third Party Observer Report	11/20/15	12/10/15
	Recommended for grant award	YES	01/27/16
	SRC Chair Notification to PIC and OC	01/25/16	01/27/16
5. PIC Review	Applicant not employed by grantee prior to SRC date	YES	02/02/16
	COI indicated by PIC member	NONE	02/02/16
	COI recused from participation	M. Kripke*	02/02/16
	PIC review meeting	02/02/16	02/02/16
	Recommended for grant award	YES	02/02/16
6. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

* Dr. Kripke did not vote pursuant to a FY2016 COI waiver approved by the Oversight Committee.

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR160027
Recruitment of Rising Stars
Nomination of Dr. Bing Zhang

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of Rising Stars* Request for Applications (RFA). CPRIT received two applications for this RFA. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle
- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle


In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that Dr. Margaret Kripke, Chief Scientific Officer, has a conflict of interest waiver on file for FY2016 applicable to conflict of interests specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

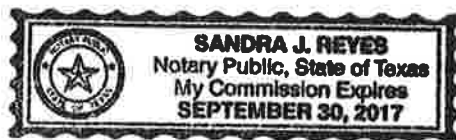
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."


Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 2nd day of February, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
CYCLE 4
PROGRAM Research
AWARD MECHANISM Recruitment of Rising Stars (RRS)
APPLICATION ID RR160027
APPLICATION TITLE Rising Star Recruit: Bing Zhang, Ph.D.
NOMINATOR NAME Kuspa, Adam
CANDIDATE NAME Zhang, Bing
ORGANIZATION Baylor College of Medicine
PANEL NAME Recruitment FY16 Cycle 4 (REC_16.4)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CSO	09/18/15	01/27/16
	RFA published in Texas Register	09/11/15	01/27/16
	CPRIT Application Receipt Cycle opened	09/21/15	12/10/15
	CPRIT Application Receipt Cycle closed	10/20/15	12/10/15
	Date application submitted	10/20/15	12/10/15
	Method of submission	CARS	12/10/15
	Within receipt period	YES	12/10/15
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	12/10/15
	Donation(s) made to CPRIT/foundation	NO	12/10/15
	Assigned to primary reviewers	11/02/15	12/10/15
	Applicant notified of review panel assignment	N/A	12/10/15
	Primary Reviewer 1 COI signed	10/26/15	12/10/15
	Primary Reviewer 2 COI signed	10/26/15	12/10/15
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	11/12/15	12/10/15
	Primary Reviewer 2 critique submitted	11/08/15	12/10/15
	COI indicated by non-primary reviewer	NONE	12/10/15
	COI recused from participation	N/A	12/10/15
	Discussed at Peer Review Meeting	YES	12/10/15
	Peer Review Meeting	11/12/15	12/10/15
	Post review statements signed	12/04/15	12/10/15
	Third Party Observer Report	11/20/15	12/10/15
	Score report delivered to CSO	12/02/15	12/10/15
	Recommended for SRC Review	YES	12/10/15
4. Final SRC Recommendation	COI indicated by SRC member	NONE	12/10/15
	COI recused from participation	N/A	12/10/15
	SRC Meeting	11/12/15	12/10/15
	Third Party Observer Report	11/20/15	12/10/15
	Recommended for grant award	YES	01/27/16
	SRC Chair Notification to PIC and OC	01/25/16	01/27/16
5. PIC Review	Applicant not employed by grantee prior to SRC date	YES	02/02/16
	COI indicated by PIC member	NONE	02/02/16
	COI recused from participation	N/A	02/02/16
	PIC review meeting	02/02/16	02/02/16
	Recommended for grant award	YES	02/02/16
6. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR160028
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Dr. Alexandre Orthwein

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

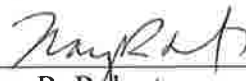
My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of First-Time, Tenure-Track Faculty Members* Request for Applications (RFA). CPRIT received five applications for this RFA. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle
- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that Dr. Margaret Kripke, Chief Scientific Officer, has a conflict of interest waiver on file for FY2016 applicable to conflict of interests specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).


I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules.
This statement is true."



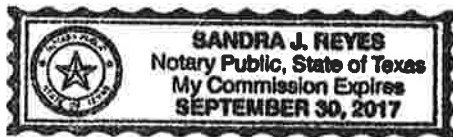
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 2nd day of February, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
CYCLE 4
PROGRAM Research
AWARD MECHANISM Recruitment of First-Time Faculty Members (RFTFM)
APPLICATION ID RR160028
APPLICATION TITLE Recruitment of First-time, Tenure-Track Faculty - Dr. Alexandre Orthwein
NOMINATOR NAME Dmitrovsky, Ethan
CANDIDATE NAME Orthwein, Alexandre
ORGANIZATION The University of Texas M. D. Anderson Cancer Center
PANEL NAME Recruitment FY16 Cycle 4 (REC_16.4)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CSO	09/18/15	01/27/16
	RFA published in Texas Register	09/11/15	01/27/16
	CPRIT Application Receipt Cycle opened	09/21/15	12/10/15
	CPRIT Application Receipt Cycle closed	10/20/15	12/10/15
	Date application submitted	10/20/15	12/10/15
	Method of submission	CARS	12/10/15
	Within receipt period	YES	12/10/15
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	12/10/15
	Donation(s) made to CPRIT/foundation	NO	12/10/15
	Assigned to primary reviewers	11/02/15	12/10/15
	Applicant notified of review panel assignment	N/A	12/10/15
	Primary Reviewer 1 COI signed	10/27/15	12/10/15
	Primary Reviewer 2 COI signed	10/26/15	12/10/15
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	11/09/15	12/10/15
	Primary Reviewer 2 critique submitted	11/04/15	12/10/15
	COI indicated by non-primary reviewer	NONE	12/10/15
	COI recused from participation	N/A	12/10/15
	Discussed at Peer Review Meeting	YES	12/10/15
	Peer Review Meeting	11/12/15	12/10/15
	Post review statements signed	12/04/15	12/10/15
	Third Party Observer Report	11/20/15	12/10/15
	Score report delivered to CSO	12/02/15	12/10/15
	Recommended for SRC Review	YES	12/10/15
4. Final SRC Recommendation	COI indicated by SRC member	NONE	12/10/15
	COI recused from participation	N/A	12/10/15
	SRC Meeting	11/12/15	12/10/15
	Third Party Observer Report	11/20/15	12/10/15
	Recommended for grant award	YES	01/27/16
	SRC Chair Notification to PIC and OC	01/25/16	01/27/16
5. PIC Review	Applicant not employed by grantee prior to SRC date	YES	02/02/16
	COI indicated by PIC member	NONE	02/02/16
	COI recused from participation	M. Kripke*	02/02/16
	PIC review meeting	02/02/16	02/02/16
	Recommended for grant award	YES	02/02/16
6. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

* Dr. Kripke did not vote pursuant to a FY2016 COI waiver approved by the Oversight Committee.

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR160029
Recruitment of Established Investigators
Nomination of Dr. Xiaodong Cheng

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

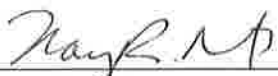
My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of Established Investigators* Request for Applications (RFA). CPRIT received five applications for this RFA. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle
- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that Dr. Margaret Kripke, Chief Scientific Officer, has a conflict of interest waiver on file for FY2016 applicable to conflict of interests specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).


I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules.
This statement is true."



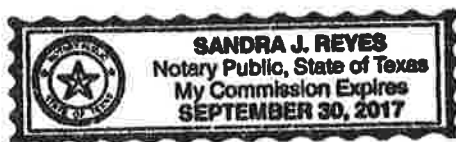
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 2nd day of February, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
CYCLE 4
PROGRAM Research
AWARD MECHANISM Recruitment of Established Investigators (REI)
APPLICATION ID RR160029
APPLICATION TITLE Recruitment of Established Investigator - Dr. Xiaodong Cheng, Ph.D
NOMINATOR NAME Dmitrovsky, Ethan
CANDIDATE NAME Cheng, Xiaodong
ORGANIZATION The University of Texas M. D. Anderson Cancer Center
PANEL NAME Recruitment FY16 Cycle 4 (REC_16.4)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CSO	09/18/15	01/27/16
	RFA published in Texas Register	09/11/15	01/27/16
	CPRIT Application Receipt Cycle opened	09/21/15	12/10/15
	CPRIT Application Receipt Cycle closed	10/20/15	12/10/15
	Date application submitted	10/20/15	12/10/15
	Method of submission	CARS	12/10/15
	Within receipt period	YES	12/10/15
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	12/10/15
	Donation(s) made to CPRIT/foundation	NO	12/10/15
	Assigned to primary reviewers	11/02/15	12/10/15
	Applicant notified of review panel assignment	N/A	12/10/15
	Primary Reviewer 1 COI signed	10/27/15	12/10/15
	Primary Reviewer 2 COI signed	10/26/15	12/10/15
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	11/16/15	12/10/15
	Primary Reviewer 2 critique submitted	11/09/15	12/10/15
	COI indicated by non-primary reviewer	Jones, Peter	12/10/15
	COI recused from participation	YES	12/10/15
	Discussed at Peer Review Meeting	YES	12/10/15
	Peer Review Meeting	11/12/15	12/10/15
	Post review statements signed	12/04/15	12/10/15
	Third Party Observer Report	11/20/15	12/10/15
	Score report delivered to CSO	12/02/15	12/10/15
	Recommended for SRC Review	YES	12/10/15
4. Final SRC Recommendation	COI indicated by SRC member	Jones, Peter	12/10/15
	COI recused from participation	YES	12/10/15
	SRC Meeting	11/12/15	12/10/15
	Third Party Observer Report	11/20/15	12/10/15
	Recommended for grant award	YES	01/27/16
	SRC Chair Notification to PIC and OC	01/25/16	01/27/16
5. PIC Review	Applicant not employed by grantee prior to SRC date	YES	02/02/16
	COI indicated by PIC member	NONE	02/02/16
	COI recused from participation	M. Kripke*	02/02/16
	PIC review meeting	02/02/16	02/02/16
	Recommended for grant award	YES	02/02/16
6. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

* Dr. Kripke did not vote pursuant to a FY2016 COI waiver approved by the Oversight Committee.

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR160030
Recruitment of Established Investigators
Nomination of Dr. Herbert Kim Lyerly

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of Established Investigators* Request for Applications (RFA). CPRIT received five applications for this RFA. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle
- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that Dr. Margaret Kripke, Chief Scientific Officer, has a conflict of interest waiver on file for FY2016 applicable to conflict of interests specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

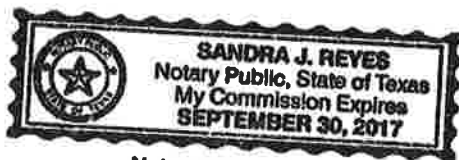
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules.
This statement is true."


Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 2nd day of February, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
CYCLE 6
PROGRAM Research
AWARD MECHANISM Recruitment of Established Investigators (REI)
APPLICATION ID RR160030
APPLICATION TITLE Recruitment of Herbert "Kim" Lyerly to Dell Medical School, UT Austin to Serve as the Associate Dean and Inaugural Director of the LIVESTRONG Cancer Institutes
NOMINATOR NAME Johnston, Sterling
CANDIDATE NAME Lyerly, Herbert "Kim"
ORGANIZATION The University of Texas at Austin
PANEL NAME Recruitment FY16 Cycle 5 and 6 (REC_16.5-6)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CSO	09/18/15	01/27/16
	RFA published in Texas Register	09/11/15	01/27/16
	CPRIT Application Receipt Cycle opened	11/21/15	01/26/16
	CPRIT Application Receipt Cycle closed	12/20/15	01/26/16
	Date application submitted	12/18/15	01/26/16
	Method of submission	CARS	01/26/16
	Within receipt period	YES	01/26/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	01/26/16
	Donation(s) made to CPRIT/foundation	NO	01/26/16
	Assigned to primary reviewers	12/30/15	01/26/16
	Applicant notified of review panel assignment	N/A	01/26/16
	Primary Reviewer 1 COI signed	12/24/15	01/26/16
	Primary Reviewer 2 COI signed	12/23/15	01/26/16
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	01/14/16	01/26/16
	Primary Reviewer 2 critique submitted	01/05/16	01/26/16
	COI indicated by non-primary reviewer	NONE	01/26/16
	COI recused from participation	N/A	01/26/16
	Discussed at Peer Review Meeting	YES	01/26/16
	Peer Review Meeting	01/14/15	01/26/16
	Post review statements signed	01/25/16	01/26/16
	Third Party Observer Report	01/25/16	01/26/16
	Score report delivered to CSO	01/27/16	01/27/16
4. Final SRC Recommendation	Recommended for SRC Review	YES	01/26/16
	COI indicated by SRC member	NONE	01/26/16
	COI recused from participation	N/A	01/26/16
	SRC Meeting	01/14/15	01/26/16
	Third Party Observer Report	01/25/16	01/26/16
	Recommended for grant award	YES	01/26/16
5. PIC Review	SRC Chair Notification to PIC and OC	01/25/16	01/27/16
	Applicant not employed by grantee prior to SRC date	YES	02/02/16
	COI indicated by PIC member	NONE	02/02/16
	COI recused from participation	M. Kripke*	02/02/16
	PIC review meeting	02/02/16	02/02/16
6. Oversight Committee Approval	Recommended for grant award	YES	02/02/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

* Dr. Kripke did not vote pursuant to a FY2016 COI waiver approved by the Oversight Committee.

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR160031
Recruitment of Established Investigators
Nomination of Dr. Filippo G. Giancotti

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).


My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of Established Investigators* Request for Applications (RFA). CPRIT received five applications for this RFA. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle
- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle


In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that Dr. Margaret Kripke, Chief Scientific Officer, has a conflict of interest waiver on file for FY2016 applicable to conflict of interests specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

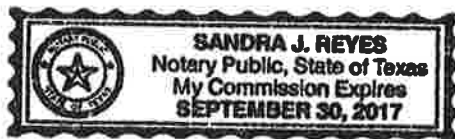
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules.
This statement is true."


Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 2nd day of February, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
CYCLE 5
PROGRAM Research
AWARD MECHANISM Recruitment of Established Investigators (REI)
APPLICATION ID RR160031
APPLICATION TITLE Recruitment of Established Investigator - Filippo G. Giancotti, M.D., Ph.D.
NOMINATOR NAME Dmitrovsky, Ethan
CANDIDATE NAME Giancotti, Filippo
ORGANIZATION The University of Texas M. D. Anderson Cancer Center
PANEL NAME Recruitment FY16 Cycle 5 and 6 (REC_16.5-6)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CSO	09/18/15	01/27/16
	RFA published in Texas Register	09/11/15	01/27/16
	CPRIT Application Receipt Cycle opened	10/21/15	01/26/16
	CPRIT Application Receipt Cycle closed	11/20/15	01/26/16
	Date application submitted	11/20/15	01/26/16
	Method of submission	CARS	01/26/16
	Within receipt period	YES	01/26/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	01/26/16
	Donation(s) made to CPRIT/foundation	NO	01/26/16
	Assigned to primary reviewers	12/30/15	01/26/16
	Applicant notified of review panel assignment	N/A	01/26/16
	Primary Reviewer 1 COI signed	12/23/15	01/26/16
	Primary Reviewer 2 COI signed	12/28/15	01/26/16
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	01/07/16	01/26/16
	Primary Reviewer 2 critique submitted	01/11/16	01/26/16
	COI indicated by non-primary reviewer	O'Reilly, Richard	01/26/16
	COI recused from participation	YES	01/26/16
	Discussed at Peer Review Meeting	YES	01/26/16
	Peer Review Meeting	01/14/15	01/26/16
	Post review statements signed	01/25/16	01/26/16
	Third Party Observer Report	01/25/16	01/26/16
	Score report delivered to CSO	01/27/16	01/27/16
	Recommended for SRC Review	YES	01/26/16
4. Final SRC Recommendation	COI indicated by SRC member	O'Reilly, Richard	01/26/16
	COI recused from participation	YES	01/26/16
	SRC Meeting	01/14/15	01/26/16
	Third Party Observer Report	01/25/16	01/26/16
	Recommended for grant award	YES	01/26/16
	SRC Chair Notification to PIC and OC	01/25/16	01/27/16
5. PIC Review	Applicant not employed by grantee prior to SRC date	YES	02/02/16
	COI indicated by PIC member	NONE	02/02/16
	COI recused from participation	M. Kripke*	02/02/16
	PIC review meeting	02/02/16	02/02/16
	Recommended for grant award	YES	02/02/16
6. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

* Dr. Kripke did not vote pursuant to a FY2016 COI waiver approved by the Oversight Committee.

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR160032
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Dr. Traver Hart

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

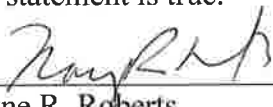
My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of First-Time, Tenure-Track Faculty Members* Request for Applications (RFA). CPRIT received five applications for this RFA. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle
- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that Dr. Margaret Kripke, Chief Scientific Officer, has a conflict of interest waiver on file for FY2016 applicable to conflict of interests specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).


I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules.
This statement is true."



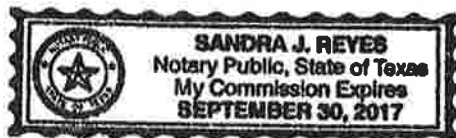
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 2nd day of February, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
CYCLE 5
PROGRAM Research
AWARD MECHANISM Recruitment of First-Time Faculty Members (RFTFM)
APPLICATION ID RR160032
APPLICATION TITLE Recruitment of First-time, Tenure-Track Faculty - Dr. Traver Hart
NOMINATOR NAME Dmitrovsky, Ethan
CANDIDATE NAME Hart, Traver
ORGANIZATION The University of Texas M. D. Anderson Cancer Center
PANEL NAME Recruitment FY16 Cycle 5 and 6 (REC_16.5-6)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CSO	09/18/15	01/27/16
	RFA published in Texas Register	09/11/15	01/27/16
	CPRIT Application Receipt Cycle opened	10/21/15	01/26/16
	CPRIT Application Receipt Cycle closed	11/20/15	01/26/16
	Date application submitted	11/20/15	01/26/16
	Method of submission	CARS	01/26/16
	Within receipt period	YES	01/26/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	01/26/16
	Donation(s) made to CPRIT/foundation	NO	01/26/16
	Assigned to primary reviewers	12/30/15	01/26/16
	Applicant notified of review panel assignment	N/A	01/26/16
	Primary Reviewer 1 COI signed	12/22/15	01/26/16
	Primary Reviewer 2 COI signed	12/23/15	01/26/16
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	01/13/16	01/26/16
	Primary Reviewer 2 critique submitted	01/03/16	01/26/16
	COI indicated by non-primary reviewer	NONE	01/26/16
	COI recused from participation	N/A	01/26/16
	Discussed at Peer Review Meeting	YES	01/26/16
	Peer Review Meeting	01/14/15	01/26/16
	Post review statements signed	01/25/16	01/26/16
	Third Party Observer Report	01/25/16	01/26/16
	Score report delivered to CSO	01/27/16	01/27/16
	Recommended for SRC Review	YES	01/26/16
4. Final SRC Recommendation	COI indicated by SRC member	NONE	01/26/16
	COI recused from participation	N/A	01/26/16
	SRC Meeting	01/14/15	01/26/16
	Third Party Observer Report	01/25/16	01/26/16
	Recommended for grant award	YES	01/26/16
	SRC Chair Notification to PIC and OC	01/25/16	01/27/16
5. PIC Review	Applicant not employed by grantee prior to SRC date	YES	02/02/16
	COI indicated by PIC member	NONE	02/02/16
	COI recused from participation	M. Kripke*	02/02/16
	PIC review meeting	02/02/16	02/02/16
	Recommended for grant award	YES	02/02/16
6. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

* Dr. Kripke did not vote pursuant to a FY2016 COI waiver approved by the Oversight Committee.

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR160034
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Dr. Luke Andrew Gilbert

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of First-Time, Tenure-Track Faculty Members* Request for Applications (RFA). CPRIT received five applications for this RFA. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle
- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle


In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that Dr. Margaret Kripke, Chief Scientific Officer, has a conflict of interest waiver on file for FY2016 applicable to conflict of interests specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

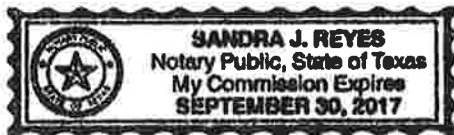
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules.
This statement is true."


Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 2nd day of February, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
CYCLE 6
PROGRAM Research
AWARD MECHANISM Recruitment of First-Time Faculty Members (RFTFM)
APPLICATION ID RR160034
APPLICATION TITLE Nomination of Luke Andrew Gilbert, Ph.D. for a CPRIT First-Time, Tenure-Track
NOMINATOR NAME Fitz, John
CANDIDATE NAME Gilbert, Luke Andrew
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME Recruitment FY16 Cycle 5 and 6 (REC_16.5-6)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CSO	09/18/15	01/27/16
	RFA published in Texas Register	09/11/15	01/27/16
	CPRIT Application Receipt Cycle opened	11/21/15	01/26/16
	CPRIT Application Receipt Cycle closed	12/20/15	01/26/16
	Date application submitted	12/11/15	01/26/16
	Method of submission	CARS	01/26/16
	Within receipt period	YES	01/26/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	01/26/16
	Donation(s) made to CPRIT/foundation	NO	01/26/16
	Assigned to primary reviewers	12/30/15	01/26/16
	Applicant notified of review panel assignment	N/A	01/26/16
	Primary Reviewer 1 COI signed	12/23/15	01/26/16
	Primary Reviewer 2 COI signed	12/23/15	01/26/16
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	01/05/16	01/26/16
	Primary Reviewer 2 critique submitted	01/07/16	01/26/16
	COI indicated by non-primary reviewer	NONE	01/26/16
	COI recused from participation	N/A	01/26/16
	Discussed at Peer Review Meeting	YES	01/26/16
	Peer Review Meeting	01/14/15	01/26/16
	Post review statements signed	01/25/16	01/26/16
	Third Party Observer Report	01/25/16	01/26/16
	Score report delivered to CSO	01/27/16	01/27/16
	Recommended for SRC Review	YES	01/26/16
4. Final SRC Recommendation	COI indicated by SRC member	NONE	01/26/16
	COI recused from participation	N/A	01/26/16
	SRC Meeting	01/14/15	01/26/16
	Third Party Observer Report	01/25/16	01/26/16
	Recommended for grant award	YES	01/26/16
	SRC Chair Notification to PIC and OC	01/25/16	01/27/16
5. PIC Review	Applicant not employed by grantee prior to SRC date	YES	02/02/16
	COI indicated by PIC member	NONE	02/02/16
	COI recused from participation	M. Kripke*	02/02/16
	PIC review meeting	02/02/16	02/02/16
	Recommended for grant award	YES	02/02/16
6. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

* Dr. Kripke did not vote pursuant to a FY2016 COI waiver approved by the Oversight Committee.

The identity of the attesting party is retained by CPRIT.